

THE EVOLUTION OF CHOPIN'S 'STRUCTURAL STYLE'
AND ITS RELATION TO IMPROVISATION

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(Summary)

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This dissertation has four principal goals:

1. to provide Heinrich Schenker's theoretical notion of improvisation with an historical context, thus laying the groundwork for a Schenkerian study of Chopin's 'improvisatory' compositions;
2. by analysing most of his early pieces and several mature ones, to define Chopin's 'structural style', i.e., the shared structural principles on which music from different genres was based; and by studying the evolution of his 'structural style' from 1817 to 1832, to show how Chopin developed the ability to conceive works as unified compositional statements rather than as a succession of independent sections;
3. to fill the gaps resulting from cursory treatment of Chopin's early and late music in the Schenkerian literature and in the work of other analysts;
4. to apply Schenkerian analytical techniques systematically to a wide body of repertoire in order to demonstrate the method's value as a *musicological* tool in defining the styles of other composers.

The influence that improvisation had on Chopin's music has often been noted, but discussion has generally been confined to foreground details without regard to tonal structure. This study of Chopin's 'improvisatory' works - *style brillante* repertoire, early dance pieces, F minor Fantasy and *Polonaise-Fantasy* - reveals that improvisatory practices were also important in the evolution of his 'structural style'. Contrary to Schenker's assumptions about 'genius', Chopin only gradually developed the 'improvisatory long-range vision' - that is, the ability to conceive works in a unifying 'sweep of improvisation' - that characterises his later music. Many early pieces seem to have been 'formally' conceived, with self-contained parts juxtaposed to create the whole. As he matured as a composer, Chopin learned to relate independent sections by means of structural voice-leading, tonal architecture, and an increasingly organic use of motivic and harmonic material.

Overview of selected middle- and late-period works and detailed analysis of the *Barcarolle* and *Polonaise-Fantasy* show that structural principles established in Chopin's 'apprenticeship' remained a central feature of his mature 'structural style' despite the music's greater sophistication at the foreground level and the stylistic changes that occurred in the early 1840s. Chopin's reliance on these principles is particularly noteworthy in the *Polonaise-Fantasy*, which in the foreground conveys a sense of improvisatory freedom to the point of apparent disorder.

This dissertation is the result of my own work
and includes nothing which is the outcome
of work done in collaboration.

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PREFACE

Chopin scholarship has rapidly been gaining momentum in the past few decades, propelled by an 'explosion' in articles, monographs, dissertations and books on the composer's music since the First International Congress Devoted to the Works of Chopin, held in Warsaw in 1960.¹ Although most of these deal primarily with musicological issues, a number of publications - chief among them Jim Samson's *The Music of Chopin* and the collection of essays edited by him,² as well as earlier works such as Gerald Abraham's *Chopin's Musical Style*, Hugo Leichtentritt's *Analyse der Chopin'schen Klavierwerke*, and Alan Walker's *Frédéric Chopin: Profiles of the Man and the Musician* - approach the repertoire analytically, thereby avoiding what Samson refers to as the 'loosely descriptive, impressionistic'³ character typical of some writing about Chopin.

With the exception of the two Samson books, however, much of the existing analytical literature on Chopin's music tends to suffer from certain fundamental problems: over-emphasis on foreground detail and lack of attention to underlying structure - in particular, to tonal architecture - as a feature of the composer's style (for instance, Abraham 1939); failure to view the analysis within a wider historical or stylistic perspective (e.g., Thomas 1963); and use of methodology which has been widely discredited since the time of publication (Leichtentritt 1921, 1922; Bronarski 1935; Miketta 1949; Chomiński 1950).⁴ More recent Schenkerian literature on Chopin's music - to be reviewed at the beginning of Part III - avoids some of these problems (notably the first), but in general the focus in these studies is specific, at times even narrow, limited to aspects of voice-leading (e.g., Parks 1976;

Rothgeb 1980) or to pieces in isolation (Salzer 1970; Forte/Gilbert 1982) without regard to their larger stylistic context. This of course is also true of Schenker's own analyses of Chopin, although the profound insights he derives from the music more than redress any shortcomings resultant from lack of context.⁶ What is more difficult to reconcile, however, is Schenker's virtually total omission of the early and late repertoire from his analysis of Chopin's music: only a few passing references to the early works appear in his writings, and apart from the C-sharp minor Waltz Op. 64, No. 2, Schenker essentially ignores compositions from the last six or seven years of Chopin's life, when, during a critical period of stylistic reappraisal, Chopin wrote what is widely held to be his greatest and in many ways his most complex music.

The study that follows has several goals:

1. to fill those gaps resulting from the less than exhaustive treatment of the repertoire in the Schenkerian literature⁶ and in the work of other authors;
2. to provide Schenker's ideas about compositional conception - particularly those related to improvisation - with a specific historical context, and by doing so to lay the groundwork for study of the 'improvisatory' compositions written by Chopin during his early and late periods;
3. by analysing in detail most of the early pieces and a number of later ones (thereby establishing a broad context for the analysis of a given work by Chopin by means of comparison with others), to define what might be referred to as the composer's '**structural style**', that is, the set of structural principles on which Chopin appears to have based music belonging to different genres; and by studying the evolution of this 'structural style' from 1817 to 1832, to show how Chopin developed the ability to conceive his works as unified compositional statements rather than as a succession of more or less independent sections;
4. to apply Schenkerian analytical techniques in a systematic manner to a wide body of repertoire in order to demonstrate the value of the method as a *musicological* tool which could be used to examine the styles of other composers.⁷

In the first part of the dissertation, Schenker's notion of improvisation serves as the point of departure for an investigation into the changing nature of musical conception in the late eighteenth and early nineteenth centuries, which in turn provides a background to the study of Chopin's emerging 'structural style'. Given that Schenker's understanding of improvisation derived from eighteenth-century traditions, and that fundamental differences existed between eighteenth- and nineteenth-century improvisatory practices, it is important to consider whether Schenker's theoretical notion applies not only to fantasies, preludes and cadenzas composed in the 1700s but also to improvisatory music from the 1800s. Works by J.S. Bach, Mozart, Haydn, Beethoven and Schubert are briefly studied to evaluate Schenker's principles of improvisation and to prepare for the more exhaustive analysis of Chopin's early and late 'improvisatory' music that follows in the second and third parts of the thesis.

The influence that improvisation had on Chopin's compositional style has frequently been alluded to in the literature, but in general discussion has been confined to details in the foreground without regard to underlying tonal structure. This more comprehensive study of Chopin's 'improvisatory' works - the *stile brillante* repertoire, the early dance pieces, and later compositions such as the *Polonaise-Fantasy* Op. 61 - reveals that improvisatory practices played an important role not only in determining details of harmony and ornamentation but also, and perhaps more importantly, in the evolution of the composer's 'structural style'. Contrary to Schenker's tacit assumptions about compositional mastery and 'genius', Chopin only gradually developed the 'improvisatory long-range vision'^e - that is, the ability to conceive works as a whole - that characterises his later works. Many of his early pieces seem to have been 'formally' conceived, with self-contained

parts simply juxtaposed to create the whole. As he matured as a composer, however, Chopin learned to relate apparently independent sections by means of structural voice-leading, subtle tonal references, and an increasingly 'organic' use of motivic and harmonic material.

Study of the early music is followed in the third part of the dissertation by an overview of selected works from the middle and late periods (e.g., the F minor Fantasy Op. 49), and more detailed analysis of the *Barcarolle* Op. 60 and the *Polonaise-Fantasy* Op. 61, in an attempt to show that the structural principles established in the early period remained a central feature of Chopin's mature 'structural style' despite the increasingly sophisticated nature of the music at the foreground level and the stylistic changes that occurred in the early 1840s. The composer's reliance on these structural principles is particularly noteworthy in the case of the *Polonaise-Fantasy*, which at the foreground level conveys a sense of great improvisatory freedom to the point of apparent disorder and instability.

The use of Schenkerian techniques as the principal analytical method in studying Chopin's 'structural style' has been determined by several factors. Perhaps the most striking feature of Chopin's early development is his increasing mastery of tonal architecture and his gradual realisation of its power in enhancing or even ensuring the unity of a work. This if nothing else might compel one to employ graphic methods in analysing the early repertoire, not to mention certain later pieces (particularly the more 'improvisatory' works, some of which directly challenge Schenker's eighteenth-century notion of improvisation). Of even greater significance, however, is the remarkable compatibility between Chopin's music and Schenkerian techniques, which Schenker's enthusiastic assimilation of Chopin into his pantheon of German masters⁹ and his many analyses of Chopin's music attest to.¹⁰ This

innate compatibility has been noted by numerous authors. Jim Samson for instance observes that

Chopin's music, like Beethoven's, responds to Schenker's methods with peculiar aptness. Not only is harmony one of the principal shaping elements in much of his music, but a distinction between structural and 'contrapuntal' harmonies is central to his musical thought.¹¹

Franz Eibner¹² draws similar conclusions from Chopin's own comments on musical 'logic' as related by Eugène Delacroix in a well-known journal entry from April 1849 - i.e., about six months before the composer's death - which reveals Chopin's great sensitivity to the underlying structure of his music (as well as that of other composers) and also offers a rare glimpse into how his works were conceived. Delacroix writes:

During the day, he talked music with me, and that gave him new animation, I asked him what establishes logic in music. He made me feel what counterpoint and harmony are; how the fugue is like pure logic in music, and that to know the fugue deeply is to be acquainted with the element of all reason and all consistency in music. I thought how happy I should have been to learn about all this - which is the despair of the common run of musicians. That feeling gave me an idea of the pleasure in science that is experienced by philosophers worthy of the name. The thing is that true science is not what is ordinarily understood under that term, that is to say, a department of knowledge which differs from art. No, science, looked upon in the way I mean, demonstrated by a man like Chopin, is art itself, and, conversely, art is no longer what the vulgar think it to be, that is, some sort of inspiration which comes from nowhere, which proceeds by chance, and presents no more than the picturesque externals of things. It is reason itself, adorned by genius, but following a necessary course and encompassed by higher laws. This brings me back to the difference between Mozart and Beethoven. As he said to me, 'Where the latter is obscure and seems lacking in unity, the cause is not to be sought in what people look upon as a rather wild originality, the thing they honor him for; the reason is that he turns his back on eternal principles; Mozart never. Each of the parts has its own movement which, while still according with the others, keeps on with its own song and follows it perfectly; there is your counterpoint, "*punto contrapunto*".' He told me that the custom was to learn the harmonies before coming to counterpoint, that is to say, the succession of the notes which leads to the harmonies. The harmonies in the music of Berlioz are laid on as a veneer; he fills in the intervals as best he can.¹³

Notwithstanding the more controversial remarks in the passage (i.e., those related to Beethoven and Berlioz),¹⁴ it is fascinating to note Chopin's belief in 'eternal principles' and 'higher laws' of composition, the importance he attached to counterpoint in determining the correct succession - the

'necessary course' - of a work's harmonies, and his contention that musical 'logic', 'reason' and 'consistency' (*conséquence*) equally derive from counterpoint.¹⁵ From Delacroix's comments on inspiration, one can also infer that Chopin's music was conceived not 'by chance', but with a conscious awareness of the overall organisation. The mature works at least appear to have had as their starting-point the structural foundation of the music rather than the 'picturesque externals'. Chopin's notion of 'what establishes logic in music' is therefore strikingly similar to the principles on which Schenkerian theory was later to be based, and this makes the use of graphic analysis in a study of his evolving 'structural style' seem all the more compelling.

Another important factor in the choice of methodology is what Nicholas Cook refers to as the 'standardization of Schenkerian practice', which, he claims, has

... considerable value ... especially if comparisons between analyses of different works are to be made so that, for instance, the common feature of a whole repertoire of pieces can be established - a procedure which turns Schenkerian analysis into a valuable historical and style-analytical tool.¹⁶

Peter Westergaard also notes the important role that graphic analysis can play in the study of compositional style, although he suggests that the amount of detail involved in comparing numerous Schenkerian analyses could be overwhelming:

To think of a piece as having a particular middleground structure implies that the actual foreground of that piece is only one of a number of ways of realizing that middleground structure. Thus we might be able to get at what we mean by 'Beethoven's style' by considering all the instances we know of some particular feature of middleground structure in Beethoven's music and observing all the different ways Beethoven goes about realizing that feature. The problem is of course that there are so many ways. Obviously we must look for some consistent pattern among these ways if we are to define 'Beethoven's style' as a single 'way' of doing things. In my experience, such consistency, though often marked within any one piece by Beethoven, is not easy to find from piece to piece.¹⁷

The task of comparing numerous detailed analyses and attempting to find consistent patterns of elaboration from middleground to foreground in order to determine a 'structural style' is considerably less onerous in the case of Chopin's early compositions than it would be with his comparatively complex mature music: not only is the early repertoire more accessible than later works, but it also tends to be based on only a few recurrent structural models, as Part II demonstrates. Nevertheless, the amount of detail in this study of Chopin's emerging 'structural style' is admittedly vast and, some might argue, perhaps even disproportionate to the conclusions reached by the analysis.

Although it is conceivable that a general impression of Chopin's 'structural style' could have been formed on the basis of a number of case studies (as Schenker himself attempted to do with his selective analyses of Chopin's mature music), the very comprehensivity of the approach taken here has resulted in a substantially more accurate and complete picture of how Chopin developed the ability to conceive his works as unified compositional statements. Many of the conclusions reached in Parts II and III could not have been obtained from a less exhaustive study. Without detailed analysis of the numerous (and, in comparison to later works, relatively simplistic) dance pieces written before 1830, one would surely fail to perceive Chopin's growing dissatisfaction with the symmetrical harmonic progressions (e.g., I-III-I) on which much of this repertoire is based - progressions which have the capacity to create only a limited amount of 'structural momentum' - and his gradual replacement of these by the more 'dynamic' structures discussed in Part II, Chapter 2. Without thoroughly dissecting the *stile brillante* pieces (which, for all their many charms, are less accomplished than Chopin's mature extended compositions), it would be impossible to observe how charac-

teristic techniques of highlighting the 'final' cadence just before the start of the bravura coda in these virtuosic works ultimately led to the phrase extensions, registral expansions and harmonic enrichment strategically located at the descent of the fundamental line in later and considerably more sophisticated pieces by Chopin, both to delay closure and thereby heighten expression, and to vary the recapitulation in the *da capo* form typical of the composer's music.

Even though such firm conclusions about Chopin's emerging 'structural style' could be reached only from a study as detailed as this, it is virtually inevitable that some of the analyses presented here overlap with one another, particularly those in Part II, Chapter 1. Chopin's mature style was fully established only after 1830, and few if any of the compositions written before that time can be regarded as masterpieces on the order of the Op. 10 Studies or the first published nocturnes. Analysis of the early works tends to reflect this: numerous pieces yield similar analytical results. Nevertheless, it is this very redundancy that enables one to identify the structural models on which the music appears to have been based: without it, the attempt to define a 'structural style' would be futile, or considerably more difficult.

It is essential in the case of Chopin's music to make such an attempt even if the amount of detail generated is vast. Recurrent patterns in harmony, rhythm, figuration, phrasing, ornamentation and even form characterise each of the principal genres in which Chopin worked: numerous authors convincingly refer to Chopin's 'nocturne style', 'mazurka style', 'polonaise style' and so on as a means of classifying these distinctive features according to generic context. What has hitherto been left unquestioned in the literature on Chopin, however, is whether or not these various styles -

which for the most part relate to foreground features - are based on a single 'structural style' transcending generic boundaries and shaping the composition of nocturnes, mazurkas and polonaises alike (not to mention other genres used by Chopin).

The insights into this important issue provided here by the systematic application of Schenkerian methods to a wide body of repertoire should redress any apparent redundancy between the analyses presented in the following chapters. Ideally this study will demonstrate even to those generally sceptical of the technique that graphic analysis has great potential as a musicological tool in defining a composer's style. Furthermore, the focus on Schenker's theory of musical structure as it relates to the act of composition and to 'improvisatory' conception (as opposed to the essentially retrospective act of analysis, for which Schenker's work is otherwise used almost exclusively), and the provision of a specific historical context for this aspect of the theory, should more than justify the approach taken here in investigating the evolution of Chopin's 'structural style'.

NOTES TO PREFACE

¹ See Samson 1985: 1.

References are given throughout the dissertation as above: the author's surname and the work's date of publication are provided first, followed by the relevant page number. (The author's name is omitted if it can be determined contextually.) When citing a work which has not been a principal reference and which therefore does not appear in the Bibliography, publication details are provided in the notes.

Published translations are used where available, in both the text and the notes. All other translations are mine. When quotations from a foreign publication appear in the notes, the original (untranslated) version is given.

² Samson 1988a.

³ 1985: 1.

⁴ These studies are critically assessed in Chomiński 1958: 181-6.

⁵ Samson notes: 'By far the most compelling and certainly the most influential body of analytical studies of Chopin is to be found in the writings of Heinrich Schenker.' (1985: 155).

⁶ As it obviously was not Schenker's intention to trace the development of Chopin's style nor to compare music from different periods, one cannot expect to find a systematic study of the music. That the first and last periods should have been almost totally overlooked is nevertheless frustrating.

⁷ See Rushton 1983 for an example of the use of Schenkerian methods in style analysis.

⁸ Schenker 1979: 6.

⁹ In *Der Tonwille*, Schenker writes:

If the writer elevates the name of Frederic Chopin for inclusion in the roll of great German masters, this is because, despite the fact that his masterworks do not stem directly from Germany but are indirectly bound to it, he wishes them, too, to be accessible as a source of the highest operations of genius, and in this most exalted sense also to place them newly at the service of the German youth. (1921: 21; translation from Bent 1986: 136-7)

¹⁰ Bent 1986 discusses Schenker's treatment of both Chopin and Domenico Scarlatti, the only other non-German in the Schenkerian canon.

¹¹ 1985: 155. Elsewhere Samson writes: '... Chopin has been one of the most frequently plundered of all composers by Schenker himself and by Schenkerians' (1988b: 58).

¹² See Eibner 1956.

¹³ Journal entry dated 7 April [1849]. Delacroix 1948: 194-5.

This passage is referred to in Schenker 1954: xiv, Wiora 1962: 78, Rushton 1983: 169, and Eigeldinger 1986: 1, and is quoted at length in Eibner 1956: 104-5, Zagiba 1956: 194-5 and Yadeau 1980: 11.

¹⁴ Samson comments that 'Chopin's view of Beethoven was ambivalent' and that 'Chopin had much affection for [Berlioz] the man, even if he could not share Liszt's and Hiller's enthusiasm for the music' (1985: 36; 18).

¹⁵ In his letter dated 2 November [1826] to Jan Białobłocki, Chopin relates that he attended lessons in strict counterpoint with his teacher Józef Elsner six hours each week. Kirnberger's *Die Kunst des reinen Satzes in der Musik* was used in these lessons (see Chomiński 1980: 44). Chopin also learned figured bass at the Warsaw Conservatory, having earlier studied Karl Anton Simon's *Anweisung zum Generalbaß* (see Chomiński 1980: 37).

Chopin's renewed study of counterpoint in the early 1840s is discussed in Bronarski 1958 and Kallberg 1985.

¹⁶ 1987: 58.

¹⁷ 1974: 72.

PART I

IMPROVISATION, 1700-1850:

FORM VERSUS TONAL STRUCTURE

A. Schenker's Notion of 'Improvisation'

I would not presume to say how inspiration comes upon the genius, to declare with any certainty which part of the middleground or foreground first presents itself to his imagination; the ultimate secrets will always remain inaccessible to us.¹

Creation may have its origin anywhere, in any suitable voice-leading level or tone-succession; the seed, by the grace of God, remains inaccessible even to metaphysics.²

The theoretical works of Heinrich Schenker contain numerous passages such as these which reveal the author's passionate interest in the nature of compositional conception and in what he calls the 'mystery of the creative moment' (*Geheimnis des Schöpfungsaugenblickes*).³ Although he acknowledges his inability to explain in any precise manner how the great masters conceived their music, Schenker nevertheless confidently claims that the act of tonal composition depends entirely on the composer's sense of the fundamental structure, which, he states, is 'ever present' in the creative process, accompanying 'each transformation in the middleground and foreground, as a guardian angel watches over a child'.⁴ As if to answer the question asked by some critics - 'But did the masters also know about all this?'⁵ - Schenker writes: 'The secret of balance in music ultimately lies in the constant awareness of the transformation levels and the motion from foreground to background or the reverse. This awareness accompanies the composer constantly; without it, every foreground would degenerate into chaos.'⁶

Schenker employs a number of images in his writings to describe the 'mystery' of compositional conception. He frequently refers to the 'organic' character of great music, which 'grows outward from within' like the human body.⁷ 'Aural flight' (*fliegend Ohr*)⁸ enables composers to conceive extended musical spans as unified compositional statements, as does their 'remarkable improvisatory long-range vision' (*genial improvisierende Weitsicht*).⁹ With regard to sonata form, Schenker writes:

The masters were blessed with the ability constantly to live and move within the realm of prolongation of the formal division. Thus they were able to traverse the path of the exposition with giant strides, as if improvising, creating thereby the effect of a dramatic course of action.¹⁰

The link in this passage between compositional unity and improvisation is indicative of the extraordinary significance Schenker attached to improvisation in many of his publications, as his reference to 'improvisatory long-range vision' also demonstrates. Even a cursory glance at his writings - particularly later ones such as *Das Meisterwerk*, where he claims that 'only what is composed with the sweep of improvisation [*aus dem Stegreif*] guarantees unity in a composition',¹¹ and *Der freie Satz*, where he defines 'genius' as 'the gift of improvisation and long-range hearing [*Weithören*]'¹² - reveals the frequency and the conviction with which Schenker used the term to describe the act of composition and to define musical structure.

Although the importance of 'improvisation' in Schenkerian theory cannot be more apparent, it is not clear - nor has it ever been established in the literature - how literally Schenker used the term, what specific connection he saw between the act of improvisation and the act of composition, and whether or not he intended to relate his theoretical notion to an historical practice. That the term underwent something of an evolution in the thirty-

one year between Schenker's first major work, *Ein Beitrag zur Ornamentik*, and *Der freie Satz* makes it especially difficult to understand.

In his 1904 essay on ornamentation (which was revised and reissued in 1908), Schenker attempts to 'rehabilitate' the music of C.P.E. Bach, which at the time was neglected by musicians as a result of changes in taste and performance practice. He attacks those who understood music in terms of 'form' and who claimed furthermore that even the so-called 'masters' composed according to certain preconceived formal principles. On the contrary, Schenker writes:

... we perceive that any kind of schematic formula is foreign to their genius and that a natural spontaneity characterizes their creative activity.... [T]he music of these geniuses is unconfined, and is but lightly chained to the eternal laws of nature [*nur sanft an ewige, ihnen unbewußte Gesetze der Natur gekettet*].¹³

Schenker refers specifically to the freedom with which C.P.E. Bach composed:

What first strikes one about Bach's compositional technique is the absence of any kind of schematic formula, whether in regard to form, idea, or harmony. To invent something in advance, in isolation and out of context, only to insert it into a strained patchwork later on - this does not lie in his nature. Instead, everything - at its inception as well as during its successive development - exists by grace of an improvisatory imagination [*improvisierende Phantasie*].¹⁴

Later in the essay Schenker praises the 'richness of ideas' that bestows on Bach's works 'the gift of sounding spontaneous - eternally improvised [*das Ewig-Improvisiertel*]'.¹⁵

A passing remark shows that Schenker interprets 'improvisation' in this early essay not only as a metaphor for spontaneity, compositional freedom and abundant ideas, but furthermore in a specific historical context: citing Bach's advice to performers unable to 'introduce elaborations' of fermatas and cadences, Schenker comments, 'I fear that this passage is even more appropriate today, since improvisatory playing has seen more decline than improvement since Bach's time.'¹⁶ The implication is that the demise of

improvisation in the nineteenth century had caused a decline in compositional technique, that is, the ability to compose not according to form but spontaneously, and to effect a synthesis.

In *Harmonielehre*, published in 1906, Schenker once again relates improvisation to composition. The book ends with a discussion of two improvisatory traditions - modulating and preluding - in which Schenker criticises other authors for representing modulations and preludes as simple, unrealised harmonies, in his words as 'the empty shells of the tones [*leere Tonhülsen*]'.¹⁷ '[A] real modulation looks somewhat different',¹⁸ he claims:

... modulating and preluding - even in the most primitive case of a study example! - should show all the characteristics of a free composition, viz., a freely invented motif, free and variegated rhythm, as well as the harmonic tools offered by the diatonic system, the principle of combination, chromatic change and alteration, and, finally, free step progression, with its inherent peculiar psychology.¹⁹

Even though a simple progression may serve as the harmonic foundation of an improvised modulation or prelude, in itself it means nothing: only elaboration according to compositional principles will transform it into actual music.²⁰

In an important comment on compositional process, Schenker suggests that the great masters consciously conceived and then realised similar harmonic skeletons in the act of composition:

It may not be useless, therefore, to keep present good examples when we elaborate plans for modulating and preluding [*Modulations- oder Präludienpläne*] - especially with regard to motif and rhythm. Such examples abound in the works of our masters, even if the composer's intention may not have been that of setting an example.²¹

To support his claim, he cites passages from the works of J.S. Bach, C.P.E. Bach and Mozart, and asks,

Who knows, furthermore, whether the method of modulating and preluding as I conceive it would not incite the student's imagination, rendering it both more fluid and more self-reliant; who knows whether the general use of this method, extended to all students, would not create a situation where the artist would be able to improvise freely, as he was wont to do in other times. I, for one, do

not have the slightest doubt that the security of the composer's technique would stand to gain by this method.²²

Herein lies the connection Schenker sees between composition and improvisation: both require the elaboration of harmonic 'plans'. Good compositional technique depends on the ability to realise such 'plans' as if through improvisation.

Schenker's references to compositional 'plans' in his 1910 edition of J.S. Bach's Chromatic Fantasy and Fugue have slightly different and somewhat more profound implications. Here he states that

... Bach wrote only a few fantasias; their form, while it tended to differ from work to work, was always well defined. Later, C.P.E. Bach, Mozart, and Beethoven often used a certain plan [*Hauptform*] to great advantage: they wrote fantasias in which short, homophonic segments - self-contained and nicely rounded off - alternated with transitional passage work or preluding material.²³

Although these comments seem subtly to contradict the 1904 essay on ornamentation (where Schenker claims that the masters followed no pre-conceived compositional plan or form), this apparent contradiction reveals the first stage of evolution in Schenker's thoughts on improvisation. Whereas before he attributed to the 'improvisatory imagination' of the masters the certain freedom from formal constraint that they enjoyed, he now acknowledges that composers followed a 'well-defined' form, a 'certain plan', even in writing improvisatory works such as fantasias.

At the start of the edition, Schenker analyses the Fantasy's harmonic structure and suggests that Bach might have used this as a model in composing the work. Having noted that 'the inherent characteristics of passage work and recitative writing' could have led to 'aimless and irrational' tonal procedures,²⁴ Schenker explains that Bach achieves tonal coherence in the Fantasy by frequent and judicious references to the dominant harmony, as well as to the tonic and subdominant.²⁵ Subtle statements of the principal harmonies

of D minor act as structural pillars which support even 'the boldest feats of modulation' (Spitta's phrase) 'in a work that seems (but only *seems*) to be entirely chromatic and even atonal'.²⁶ By attributing such importance to these harmonies, Schenker defines an essential element in what would later have been called the Fantasy's background structure.²⁷ Although significantly different from the *Ursatz* of mature Schenkerian theory, the 'background' structure defined here is elaborated by Bach according to certain important 'principles' - of variety, elision, voice exchange, arpeggiation and dynamics - which foreshadow the technique of *Auskomponierung*.²⁸

In *Der Tonwille*, Schenker more closely links the plans of improvisatory compositions such as this to the background structure of his mature theory, although as yet his consideration of the relationship between improvisation and composition is neither exhaustive nor systematic. In a 1921 article, 'Der Urlinie Eine Vorbemerkung', he discusses the fundamental line for the first time (which at this stage only vaguely resembles the *Urlinie* as later defined). He attributes to it the 'whole inspiration' of a work, claiming, 'It is the muse that inspires all improvisatory creation and all synthesis.'²⁹ In a later issue he writes that only 'the feeling of the fundamental line' enabled the great masters to base their art of *Auskomponierung* and synthesis - as well as 'the consistent logic in the transformation of their prolongations' - on improvisation.³⁰

In other *Tonwille* articles, Schenker offers specific examples of the way 'improvisatory inspiration' ensures the structural integrity of a work, showing how a remote structure, specifically the fundamental line, lies behind more immediate events in the music. Of Haydn's E-flat major Sonata (Hoboken XVI/52) he writes that the motion of the *Urlinie* stands out in the 'storm' of notes caused by a demi-semiquaver run: 'The boldness of such

improvisation results in great organic power!'³¹ He points to a similar connection in Beethoven's Op. 2, No. 1 and enthuses about the 'improvisatory art of the young master'.³²

Although for the most part his references to improvisation in *Der Tonwille* concern the improvisatory connection of the remote and the immediate through the fundamental line (which acts as the structural skeleton of a work), Schenker again uses the term with specific historical implications, thus suggesting a literal interpretation of what might otherwise have appeared merely as an abstraction. In a 1923 essay he claims:

... the improvisatory nature of [J.S.] Bach's music is totally and fundamentally in contradiction with the over-fast tempos in vogue today. Can it not be said that almost all of Bach's music relies on improvisatory creation? Obviously the current inability to improvise handicaps the modern musician in his attempt even to approach the unprecedented improvisatory art of a Bach...³³

In another article from 1923, Schenker discusses Beethoven's metronome markings and once again relates the historical tradition of improvisation to his apparently 'theoretical' concept.³⁴

Schenker thoroughly defines his notion of improvisation for the first time in his 1925 essay 'Die Kunst der Improvisation', from the first *Meisterwerk* yearbook. He studies the final chapter ('Von der freyen Fantasie') in C.P.E. Bach's *Versuch über die wahre Art das Clavier zu spielen*, and then analyses the free fantasy at the close of the *Versuch*, as well as two works by Händel. Schenker summarises his essay with the comment,

The conscious awareness with which our geniuses mastered tonal material in this manner enabled them to create comprehensive syntheses. Their works are not merely pieced together, but are sketched out instantaneously like the free fantasy and are developed from a mysterious fundamental source [*Urgrund*].³⁵

Schenker makes two important points in this essay. First, even works as improvisatory in character as the free fantasy can have a coherent structure, for the great masters improvised with a 'basic plan' in mind which

helped them achieve overall unity. A feature not only of improvisation but of composition also, that plan - 'instantaneously sketched out' by a composer - comprises something akin to a background or middleground structure - specifically, an '*Urgrund*' - whose integrity and 'sureness of course' (*Sicherheit des Weges*)³⁶ derive entirely from the fundamental line. (In his analysis of the C.P.E. Bach fantasy, Schenker relates to an *Umlinie* the *partimento*-like plan³⁷ specified by Bach as the 'skeleton' (*das Gerippe*) of the work, which Bach fills in according to the principles of figured bass, thereby creating an apparently 'free' but nonetheless logically structured composition.)

Second, the 'realisation' (*Ausführung*) of the 'basic plan' takes place through diminution, which Schenker calls 'the principal means of the free fantasy'.³⁸ He relates improvisation and composition by implying the importance of diminution as a 'basic law'³⁹ of composition. Just as the art of diminution lies behind the improvisatory embellishment of fermatas and cadences, and furthermore just as diminution shapes the realisation of a 'basic plan' in more extensive improvised works, so, too, does it effect the unfolding of a *composition* from a remote structure. Diminution thus serves as the 'principal means' of composition and improvisation alike. Schenker highlights numerous diminutions in the three works he analyses, pointing to the connection between the remote and the immediate that they establish. About the Bach fantasy he writes with particular enthusiasm: 'The beauty of the realisation [of Bach's plan] thus lies in the "adherence" to a smaller arpeggiation-motive within the large arpeggiation, and in the concealment of this connection by a run which pretends to be wandering aimlessly [in keeping with the improvisatory character of the free fantasy] but nevertheless achieves a specific goal.'⁴⁰

In 'Vom Organischen der Sonatenform', from the second *Meisterwerk* year-book, Schenker emphasises and elaborates these points, as well as ideas incorporated from earlier essays. He extends the 'basic plan' derived from improvisation to comprise both the fundamental line and the bass arpeggiation - in other words, the entire fundamental structure, which ensures compositional unity specifically through the 'sweep of improvisation'.⁴¹ Returning to a theme discussed in *Ein Beitrag zur Ornamentik*, he claims in a savage attack on proponents of sonata form that improvisation alone endows composers with the freedom to create organic structures: '... the whole must be discovered through improvisation if the piece is to be more than a collection of individual parts and motives in the sense of a schema'.⁴²

Finally, Schenker raises a point touched on in 'Die Kunst der Improvisation', where he stated that the masters 'instantaneously sketched out' their compositions. Referring to remote connections created by concealed arpeggiations in Haydn's G minor Piano Sonata (Hoboken XVI/44), he now writes: 'Would it have been possible for Haydn to compose both arpeggiations in such a manner if the sweep of improvisation [*Stegreifwurf*] had not shown him the way?... Surely this idea must have necessarily been present from the first.'⁴³ In other words, at the very inception of the composition, Haydn's improvisatory inspiration would have determined in full the remote structure of the work, if not the immediate realisation of that structure.

In *Der freie Satz*, Schenker further emphasises this notion of 'improvisatory inspiration' and once again attacks contemporary theories of sonata form for ignoring truly organic connection. Having noted the 'giant strides' with which the masters could 'traverse the path of the exposition ... as if improvising',⁴⁴ Schenker writes:

The quality of improvisation evident in the works of the great masters makes it impossible to conceive of an intellectual and chronological separation between a

so-called first and second theme. All of the examples I have shown clearly demonstrate the organic process and the breadth of scope inherent in the initial concept.⁴⁵

In support of his claim that the masters conceived their works as compositional entities from the start, he cites comments by C.P.E. Bach, Haydn, Mozart, Beethoven and Brahms, and indicates rather more precisely than in any of his other essays how improvisational ability enhances compositional technique: 'The great masters took the background as their source of memory. Improvisation certainly gave their memory greater strength, but the ability to improvise depends, to a great extent, upon memory'⁴⁶ (by which he means, upon the background). Furthermore, he states emphatically, 'The ability in which all creativity begins - the ability to compose extempore [*Stegreifkomposition*], to improvise fantasies and preludes - lies only in a feeling for the background, middleground, and foreground.'⁴⁷

Schenker's notion of improvisation thus can be summarised by the following two principles: first, like composition itself, the act of improvisation depends upon the prolongation of a remote structure - a 'basic plan' or model - which he relates at first to an *Urgrund* but eventually links directly to the middleground and background; second, the prolongation of that structure in improvisation takes place through diminution, specifically, diminution of the fundamental line.

The two principles - and indeed all of Schenker's ideas on the subject - presuppose certain characteristics of improvisation which should be carefully evaluated. Can it be assumed that his understanding of improvisation as practised in the eighteenth and nineteenth centuries was in fact accurate? It is odd, and not altogether convincing, that Schenker should attribute powers of synthesis to improvisation in view of the great liberty, particularly of harmony and form, that traditionally characterised it. One has only

to look at accounts of improvisation in the early nineteenth century to sense what Robert Wangermée refers to as the 'lack of perfect logic', the 'rapid abandonment of certain ideas for the sake of new and contrasting ones', and the 'absence of internal structure' that apparently prevailed.⁴⁸

In the early nineteenth century, improvisation suffered what Wangermée calls an 'apotheosis of bad taste'.⁴⁹ Extemporaneous performances were marked by abrupt and often exaggerated changes in key, tempo, mood and thematic material, which, used for dramatic effects of an 'immediate' nature, would have been wholly inappropriate in a composition.⁵⁰ Furthermore, players arbitrarily interrupted 'serious' works in the repertoire with meretricious virtuosic displays, as Liszt confesses in a well-known *mea culpa*: looking back on his early career he writes,

I then frequently performed ... the works of Beethoven, Weber and Hummel, and I confess to my shame that in order to compel the bravos of an audience always slow to grasp beautiful things in their august simplicity, I had no scruples against changing their tempos and intentions; I even went so far as insolently to add to them a host of passages and cadenzas,...⁵¹

Improvisation in the mid- to late eighteenth century also relied to a considerable extent on freedom of form and the element of surprise, as Peter Schleuning concludes on the basis of numerous improvisatory works from the period.⁵² He singles out noteworthy features such as the 'extreme modulations' effected by blocks of arpeggios in compositions by Johann Ludwig Krebs, C.P.E. Bach, Ernst Wilhelm Wolf, Johann Christoph Kellner and Christian Gottlob Neefe; sudden shifts to 'very distant keys' (Kellner and Johann Christian Kittel); unexpected interrupted cadences (Mozart); and, above all, enharmonic changes (Kellner, Johann Wilhelm Hässler and C.P.E. Bach). Yet, despite these 'original and suitably novel harmonic traits'⁵³ and the appearance of disorder, much of the improvisatory music from the period seems to have obeyed certain fundamental principles of tonal 'logic' derived from

figured bass. Schleuning points specifically to the balance between order and disorder implicit in C.P.E. Bach's term '*vernünftige Betrügerey*', or 'rational deception', which appears in the final chapter of the *Versuch*.⁵⁴

In this balance between apparent disorder and a concealed but nonetheless rational structure lies not only an important principle of improvisation as practised by Bach but furthermore the key to understanding 'improvisation' in Schenkerian theory. That Schenker grasped '*vernünftige Betrügerey*' as a central principle of improvisation can clearly be seen in the first *Meisterwerk* yearbook, where he marvels at Bach's 'bold tricks' (*verwegene Künste*) and writes: '... Bach insists on the most precise order even in the diminution of a free fantasy, but he conceals this order under the appearance of disorder purely for the sake of the fantasy'.⁵⁵

Schenker's comments, when considered in relation to his detailed study of the last chapter of the *Versuch* and the two principles of improvisation articulated throughout his works, inevitably lead to the conclusion that he derived his notion of improvisation largely, if not entirely, from C.P.E. Bach, in other words, from an eighteenth-century tradition rooted in figured bass practice. His references in *Ein Beitrag zur Ornamentik* and the Ninth Symphony monograph to the decline of improvisation since Bach's time offer further evidence that nineteenth-century traditions contributed little, if anything, to his understanding of improvisation.

The exclusivity of Schenker's reliance on the *Versuch* means that in order to determine the validity of his two principles and their relevance to the works of other composers, one must consider whether Bach accurately represents the eighteenth-century tradition of improvisation in the final chapter of his Essay.⁵⁶ Other treatises contemporary with the *Versuch* adopt methods for the instruction of improvisation similar to Bach's in their use

of the principles of figured bass. In his *Anleitung zur practischen Musik*, Johann Petri assigns to figured bass the role of compositional 'etymology' and 'syntax',⁵⁷ and offers numerous examples of 'the most common' figured bass progressions⁵⁸ to be realised by the student as the plans of improvised preludes and transitions between works in different keys. Treatises by Jacob Adlung,⁵⁹ Georg Sorge,⁶⁰ August Kollmann⁶¹ and Johann Vierling⁶² similarly stress that the rules of figured bass should always be observed in improvisation, and furthermore that the realisation of a figured bass line should prominently feature imitation (which Schenker later refers to as diminution) in order to ensure a sense of unity. Finally, just as C.P.E. Bach (and, for that matter, Schenker) claimed, improvisation should satisfy the requirements of order and logic implicit in good compositional technique. It is important to note, however, that none of these authors proposes a 'basic plan' for an entire fantasy as Bach does in the *Versuch*: their instruction pertains only to short modulatory passages and to preludes.⁶³ One must look outside Germany - to Prague and to Italy - for traditions relating to the improvisation of complete pieces.⁶⁴

Although performance treatises in the early nineteenth century (like their eighteenth-century precursors) link improvisation to composition and stress the importance of imitation, other features point to fundamental differences between eighteenth- and nineteenth-century improvisation traditions.⁶⁵ In his *Systematische Anleitung zum Fantasieren auf dem Pianoforte*, published around 1830, Carl Czerny likens 'a fantasy well done ... to a beautiful English garden, seemingly irregular, but full of surprising variety, and executed rationally, meaningfully, and according to plan'.⁶⁶ Although Czerny implies that nineteenth-century *preludes* still rely on the principles of figured bass,⁶⁷ the 'plan' referred to here - that is, the 'plan' of a

fantasy - not only is significantly different from the figured bass outlines that apparently served as the basis of much eighteenth-century improvisation, but furthermore has virtually nothing to do with the *Urgrund* that Schenker later refers to. Czerny reveals that in the nineteenth century the improvisation of large-scale pieces such as fantasies depended primarily on pre-determined formal schemes - rondo form, polonaise form and sonata form, to name but a few of those mentioned in the treatise.⁶⁸ This lends greater credence to Schenker's view of music history: as Peter Schleuning stresses,⁶⁹ the reliance on form in improvisation caused a stultification of creativity, which led to the disappearance of the free fantasia and, ultimately, to the decline of improvisation (although other factors⁷⁰ contributed to its demise as well). Without the inherent 'logic' of figured bass-derived structures, improvisation - as well as composition - lost its capacity for 'rational deception': the extreme contrasts which in an earlier era had had such effect became little more than musical solecisms devoid of dramatic power.

In view of the significant differences that existed between eighteenth- and nineteenth-century improvisation traditions, it is possible to propose a specific analytical response to Schenker's challenging statement in *Der freie Satz*, where he comments, '... it would be of [the] greatest importance today to study thoroughly the fantasies, preludes, cadenzas, and similar embellishment which the great composers have left to us'.⁷¹ Schenker's writings reveal that his notion of improvisation derives from an eighteenth-century practice - that is, from the work of C.P.E. Bach. But if in fact the masters of composition are 'lightly chained to the eternal laws of nature', then their improvisatory works should in some way reflect the two principles of improvisation established by Schenker, as well as the principles of free composition, no matter when those works were written. An important analytical

undertaking would be to determine whether the composed improvisations of nineteenth-century masters have 'organic' structures despite the predominant influence of 'form' on improvisatory works during that period. If they can be shown to possess a background, middleground and foreground, then 'improvisation' in Schenkerian theory will clearly have more comprehensive meaning than its eighteenth-century origins might otherwise suggest.

B. Chopin and Improvisation

Of the six nineteenth-century composers elected to Schenker's pantheon of 'German' masters - Beethoven, Schubert, Mendelssohn, Chopin, Schumann and Brahms - the one most profoundly affected by the practice of improvisation was undoubtedly Chopin.⁷² Numerous contemporary accounts, annotations in the editions used by his pupils, and various features of his compositional style suggest that all facets of Chopin's musical activity - performing, teaching, composing - were in some way influenced by improvisation.

His remarkable skills as an improviser greatly impressed many who heard him play, chief among them Julian Fontana, who commented in the preface to his 1855 edition of Chopin's posthumous works:

From his earliest youth, the richness of [Chopin's] improvisation was astonishing. But he took good care not to parade it; and the few lucky ones who have heard him improvising for hours on end, in the most wonderful manner, never lifting a single phrase from any other composer, never even touching on any of his own works - those people will agree with us in saying that Chopin's most beautiful finished compositions are merely reflections and echoes of his improvisations. This spontaneous inspiration was like an inexhaustible torrent of precious materials in ferment. From time to time, the master would draw out of it a few cups to throw into his mould, and these were found to be full of pearls and rubies.⁷³

Chopin's friend Wojciech Grzymała also marvelled at his improvisatory playing, as Eugène Delacroix reports in his journal entry of 20 April 1853:

... [Grzymała and I] talked about Chopin. He told me that Chopin's improvisations were far bolder than his finished compositions. They would doubtless stand in the position of the sketch for the picture as compared with the picture when finished.⁷⁴

Although devoid of precise technical detail, more specific descriptions of Chopin's improvisations are given by the Polish doctor Ferdynand Dworaczek,⁷⁵ George Sand,⁷⁶ her acquaintance Elisa Fournier,⁷⁷ and the poet Bohdan Zaleski, whose diary recounts an improvisation

... in which [Chopin] evoked all the sweet and sorrowful voices of the past. He sang the tears of the *dumkas* and finished with the national anthem, 'Poland is not [yet] dead' [*Jeszcze Polska nie zginęła*] in a whole gamut of different forms and voices [*sur tous les tons*], from that of the warrior to those of children and angels. I could have written a whole book about this improvisation.⁷⁸

From these sources as well as many additional ones, Chopin is known to have improvised on other Polish songs (among them *Chmielek* and *Świat srogi*), Spanish melodies, religious themes, dance tunes, and, in keeping with contemporary fashion, operatic arias (for instance, from Auber's *La Muette de Portici*, Albert Grisar's *La Folle*, and Rossini's *Il Barbiere di Siviglia*).⁷⁹

Chopin's concert improvisations before his arrival in Paris in 1831 met with considerable critical acclaim, as did his private extemporaneous performances thereafter. In a review published in the *Wiener Theaterzeitung*, 20 August 1829, of Chopin's first concert in Vienna (at the Kärntnertor Theater, 11 August 1829), an anonymous critic wrote:

To end the concert, the young virtuoso good-naturedly agreed to improvise a free fantasy [on themes from the opera *La Dame blanche* by Boieldieu, then being produced in Vienna; also on the popular Polish song *Chmielek* (Hops)] before our public - a public before which very few improvisers, apart from Beethoven and Hummel, have found favour. If the young man, multiplying the changes of theme, had wonderfully calculated the public's amusement, nevertheless the calm flow of ideas, the sureness of their sequence and the propriety of their development gave quite sufficient proof of his rare gift in this capacity.⁸⁰

An account of Chopin's performance before Louis-Philippe in February 1838 similarly praised the 'eminent merit of the young composer', noting that 'above all one admired his unfailing improvisations, which were probably the most remarkable feature of the *soirée*, and which earned him unanimous applause'.⁸¹

Although, after establishing himself in Paris Chopin no longer improvised complete 'works' in public,⁸² contemporary sources attest to the variety and spontaneity of his playing, suggesting that the spirit of improvisation continually suffused his performance of composed music. A.J. Hipkins

wrote: 'Chopin never played his own compositions twice alike, but varied each according to the mood of the moment, a mood that charmed by its very waywardness....'⁸³ F.-Henry Péru, commenting on the 'remarkable difference' between Frédéric Kalkbrenner and Chopin, claimed that

... the latter never played his works twice with the same expression, and yet the result was always ideally beautiful, thanks to the ever-fresh inspiration, powerful, tender or sorrowful. He could have played the same piece twenty times in succession, and you would still listen with equal fascination.⁸⁴

From these and other descriptions, Jean-Jacques Eigeldinger concludes:

Nothing was more foreign to Chopin's improvisatory genius than a learnt, immutably fixed interpretation. His contemporaries are unanimous in emphasizing this stamp of miraculous spontaneity which characterized his playing and affected his listeners in an absolutely unique way.

These changes of the character, even of the meaning, of a given piece under Chopin's fingers probably came through most in the agogic rhythm, ornamentation and dynamics, but equally in the choice of basic tempo, pedalling and other elements.⁸⁵

In his memoirs, Charles Hallé recalls for instance how on one occasion Chopin intentionally defied his own dynamic indications in the *Barcarolle* Op. 60, thereby heightening the music's expressive effect:

In spite of his declining physical strength, the charm of his playing remained as great as ever, some of the new readings he was compelled to adopt having a peculiar interest. Thus at the last public concert he gave in Paris, at the ... beginning of 1848, he played the latter part of his 'Barcarolle', from the point where it demands the utmost energy [bars 84ff.? 93ff.? 103ff.?], in the most opposite style, pianissimo, but with such wonderful *nuances*, that one remained in doubt if this reading were not preferable to the accustomed one. Nobody but Chopin could have accomplished such a feat.⁸⁶

The improvisatory approach to rhythm that characterised Chopin's performances is highlighted elsewhere in Hallé's memoirs: 'A remarkable feature of [Chopin's] playing was the entire freedom with which he treated the rhythm....'⁸⁷ This observation could be misleading, however, as numerous accounts of his pupils and auditors suggest that Chopin advocated strict adherence to the tempo in the accompaniment (usually played by the left hand, which he described as the 'conductor'),

... while the other hand, singing the melody, would free the essence of the musical thought from all rhythmic fetters, either by lingering hesitantly or by eagerly anticipating the movement with a certain impatient vehemence akin to passionate speech.⁸⁸

Eigeldinger links this notion of rhythmic freedom within a strictly maintained tempo to the Baroque practice of *tempo rubato*, as first defined in Pier Francesco Tosi's 1723 treatise *Opinioni de' cantori antichi e moderni*. Noting that for Tosi '... rubato is a system of compensation whereby the value of a note may be prolonged or shortened to the detriment or gain of the succeeding note', and that 'This metrical "larceny" is best applied to improvised ornaments ... *over the imperturbable movement of the bass* (underlined by Tosi)',⁸⁹ Eigeldinger briefly traces the history of rubato through the eighteenth and nineteenth centuries, and concludes:

Thus Chopin practised and taught rubato in its traditional and original meaning, at a time when that practice was on the decline, if not already abolished, in other piano music. His attachment to the Baroque aesthetic may be explained by two factors: first, his training from [Wojciech] Żywny and [Józef] Elsner, both products of the pre-Classical era and raised within Italianized circles (Prague and Vienna respectively); second, Chopin's own taste for *bel canto*, evident from in his adolescence on,...⁹⁰

Adducing the following remarks of Wilhelm von Lenz, Eigeldinger suggests that, in keeping with Baroque tradition, Chopin's use of rubato was directly related to the improvisation of ornaments:

In the fluctuations of speed, the holding back and pushing on [*Hängen und Bangen*], in rubato as *he* understood it, Chopin was charm itself; each note was rendered in the most perfect taste, in the noblest sense of the word. If *he* happened to improvise a *fioritura* - a rare occurrence - it was always somehow a miracle of good taste.⁹¹

From this and other accounts of Chopin's improvised ornamentation (such as Mikuli's: 'Chopin took particular pleasure in playing ... Field's Nocturnes, to which he would improvise the most beautiful *fiorituras* [*die reizendsten Verzierungen*];⁹² and Raoul Koczalski's: 'When playing his own compositions, Chopin liked here and there to add ornamental variants [*Verzierungen*].

Mikuli told me he had a particular predilection for doing this in the Mazurkas'⁹³), Eigeldinger draws the conclusion that

... Chopin improvised ornaments precisely in the two genres where his rubato was at its most characteristic: the Nocturnes (a pianistic stylization of *bel canto* calling for a rubato of the Baroque type, brought about by *fiorituras*) and the Mazurkas (inspired by folkloric elements in which 'national' rubato predominates),⁹⁴ These assertions of Lenz, Mikuli and Mikuli/Koczalski are fully corroborated in the ornamental variants passed on by Chopin's pupils or associates, either through the annotated scores of Jane Stirling, Mme [Camille O'Méara-] Dubois and Ludwika Jędrzejewicz, through Mikuli's edition, or through the reminiscences of Lenz, [Thomas] Tellefsen, [Adolf] Gutmann and Fontana.⁹⁵

Eigeldinger specifically cites variants in the E minor Concerto Op. 11, two of the mazurkas, and seven nocturnes (one of which - Op. 9, No. 2 - has 'no less than fifteen known variants' in different sources).⁹⁶ With regard to the added embellishments in the nocturnes, he writes: 'Generally these various *fiorituras* may be considered as representative of Chopin's improvised ornamentation.'⁹⁷

The close relation between Chopin's 'improvised' variants and certain characteristics of his compositional style - e.g., *fioriture* and cadenzas - has been alluded to by many writers, but it is even more intriguing to speculate further about the implications the ornamental variants have for Chopin's compositional process in general, which, according to various primary and secondary sources, appears to have owed much to improvisation. Gerald Abraham comments that in comparison with composers such as Beethoven, for whom 'the printed notes' embody a 'practically immutable' ideal,

Chopin's contact with his sound-medium was more immediate; the printed forms of his works were often, as his own numerous variants and changes of mind show, the records of music that, however finely polished and worked out, was originally and essentially keyboard improvisation; the record remained but the improviser's own moods constantly changed.⁹⁸

This observation accords well with the accounts of George Sand, Joseph Filtsch (brother of Chopin's pupil Karl Filtsch), and Chopin himself, who in several letters reveals that he composed at the piano, and that without an

instrument he was unable to work. Writing from Palma, while he awaited shipment of a piano from France, Chopin complained to Camille Pleyel of his inability to compose: 'I dream of music but I can't write any because there are no pianos to be had here - in that respect it is a barbarous country.'⁹⁹ To Julian Fontana he wrote: 'Meanwhile my manuscripts sleep while I get no sleep at all. I can only cough....'¹⁰⁰

George Sand's more detailed description of Chopin at work is particularly illuminating:

His invention [*création*] was spontaneous, miraculous. He found it without looking for it, without anticipating it. It came at his piano, sudden, complete, sublime; or it sang to him in his head during a walk, whereupon he longed to hear it by trying it out on the instrument.¹⁰¹

These comments echo Joseph Filtsch's in a letter to his parents dated 8 March 1842:

The other day I heard Chopin improvise at George Sand's house. It is marvellous to hear Chopin compose in this way: his inspiration is so immediate and complete that he plays without hesitation as if it had to be thus. But when it comes to writing it down and recapturing the original thought in all its details, he spends days of nervous strain and almost frightening desperation. He alters and re-touches the same phrases incessantly and walks up and down like a madman.¹⁰²

From these accounts various authors have proposed that Chopin's compositional method amounted to a process of improvisation, whereby an entire work would evolve from a single idea through improvisatory experimentation and gradual refinement at the keyboard. Jim Samson for instance notes that

... Chopin's total involvement with the piano was right at the heart of his creativity. A composition would begin life at the piano, its overall conception already formed and its melodic and harmonic details often already realised before he set pen to paper. He drew much of his inspiration directly from his exploration of novel keyboard textures and sonorities and he allowed the limitations of the instrument to define the boundaries of an enclosed musical world which could 'contain' the expressive extremes of a widely ranging language.¹⁰³

Contrasting '... composers such as Beethoven, who work their way slowly through a succession of sketches to the finished manuscript, and composers

such as Chopin, for whom the activity of writing is largely post-compositional', Samson remarks:

... it seems that in some works Chopin would begin with a sound, even before he had a clear view of its eventual context. And the sound - often an extended, relatively self-contained musical paragraph - would be conceived in an apparently spontaneous way. There is some evidence for this in the sketches, including those of the *Polonaise-fantasy*,...¹⁰⁴

Even the most cursory study of the repertoire reveals numerous stylistic features which resulted from Chopin's 'improvisatory' compositional technique and from his close contact with the piano while composing. Details within the foreground - e.g., harmony, ornamentation and figuration - and, at a much larger scale, formal and tonal structures appear to have derived at least in part from this 'improvisatory' process.

Referring to various passages in the composer's works, Abraham comments:

There can be little doubt, I think, that Chopin's harmony - the most important, most individual, and most fascinating of all aspects of his music - was ... largely inspired, or at any rate discovered, ... by improvisation at the keyboard. There may have been precedents for some of his harmonic exploits, notably in Spohr, but it is obvious that many of them were directly inspired by the timbre of the instrument or brought to light by the improviser's delicate fingers. And this is all the more important since even Chopin's basic ideas are frequently harmonic rather than melodic.¹⁰⁵

Harmonic devices arising from the music's 'improvisatory' conception on the piano include chains of parallel harmonies, both chromatic and diatonic;¹⁰⁶ some of the sequential progressions used by the composer (e.g., patterns based on fifths, thirds and stepwise motion); and various 'impressionistic' effects, in works such as the *Op. 10 Studies* as well as later ones - for instance, the *Barcarolle Op. 60* and the *Polonaise-Fantasy Op. 61*.

Like the variants that he pencilled into the copies of students and friends, the printed ornamentation in editions of Chopin's music often derives from an *improvisando* style - for example, the many *fioriture* (in

works as stylistically disparate as the concertos, nocturnes and ballades), fermata-like embellishments (e.g., bar 132 of the *Grande Polonaise* Op. 22 and bar 134 of the *F minor Ballade* Op. 52), and cadenzas¹⁰⁷ (for instance, in Op. 9, Nos. 2 and 3; the introduction to the *Là ci darem* Variations Op. 2; and the *C-sharp minor Prelude* Op. 45). Chopin clearly intended the performance of these ornamental passages to be improvisatory in character, as markings like *senza tempo* and *sfogato* ('freely given out' - in bar 78 of the *Barcarolle*) indicate. Referring for instance to the *delicatissimo* turning figure in bar 65 of the *Fantasy on Polish Airs* Op. 13, Lenz commented: 'It looks so simple! Chopin used to say of these ornaments that "they should sound as though improvised, the result not of studying exercises but of your sheer mastery of the instrument".'¹⁰⁸

Other 'improvisatory' features of Chopin's style include the numerous *portamento* and *parlando* effects, which result from the composer's pianistic reinterpretation of *bel canto* principles;¹⁰⁹ figuration (such as the left-hand accompaniment pattern typical of the nocturnes); and cross-rhythms (e.g., '... playing twos against threes [and fives against threes], each in a separate hand, which requires perfect independence of the hands for the parts to fall harmoniously into place'), which Eigeldinger describes as an innovation involving 'the inspirational element - even improvisation - as much as technique'.¹¹⁰

Finally, and perhaps most importantly, the influence of improvisation on Chopin's music extends beyond these foreground stylistic characteristics both to the genres he used and to distinct features of the music's large-scale formal and structural organisation. Ernst Oster alludes to this more profound influence when he writes: '... probably the only great composer of the later period who wrote free phantasies in large number is Chopin. Some

of his compositions, the Ballades or the F# major Impromptu [Op. 36], are phantasies of the freest kind, although they are not as greatly conceived as those of their predecessors [J.S. and C.P.E. Bach]'.¹¹¹ Other genres in which Chopin worked reveal an even more direct debt to improvisation than these works, among them the preludes (Op. 28¹¹² and Op. 45¹¹³) and the fantasies (Op. 49 and the *Polonaise-Fantasy* Op. 61),¹¹⁴ as well as the *Berceuse* Op. 57.¹¹⁵

The influence of improvisation on the genre and form of Chopin's music is particularly apparent in the early works, most of which derive from one of two distinct traditions of improvisation practised in the first part of the nineteenth century. Contemporary accounts suggest that many of Chopin's early dance pieces - polonaises, mazurkas and waltzes - originated as improvisations,¹¹⁶ conceived in what might be called a 'private' or, in the case of the mazurkas and polonaises, a 'national' tradition, which Chopin would have learned from his teacher Żywny (who was possibly an heir to the improvisatory practices of Josef Seger)¹¹⁷ and perhaps from studying existing repertoire.¹¹⁸ Analysis suggests that this 'private' tradition was responsible for recurrent structural features in Chopin's early dance pieces, virtually all of which are written in large-scale ABA forms (e.g., *Polonaise-Trio-Polonaise*) linked by underlying harmonic progressions such as i-III-i, I-IV-I and I-vi-I, indicating an all-embracing, 'improvisatory' conception on the part of the young composer not unlike that later discussed by Schenker.

Chopin's compositions in the *stile brillante* - rondos (Opp. 1, 5 and 16, and the posthumous Op. 73) and works with orchestra (*Là ci darem* Variations Op. 2, *Fantasy on Polish Airs* Op. 13, *Krakowiak-Rondo* Op. 14, *Grande Polonaise* Op. 22 and the two piano concertos) - belong to a different, 'public' tradition of improvisation fostered by early nineteenth-century compo-

ser-pianists such as Hummel, Weber and Moscheles, all of whom served as important models to the young Chopin. This tradition, which would eventually culminate in the 'apotheosis of bad taste' referred to by Wangermée, was characterised (in Samson's words) by 'a dual impulse of display and sentiment - technically speaking, bravura figuration and ornamental melody', the result of which, 'in formal terms, was often a linked chain of relatively self-contained melodic or figurative paragraphs where tonal frames are clearly-defined'.¹¹⁹ This is certainly the case in Chopin's early virtuosic works, most of which tend to be loosely structured (particularly in comparison with his contemporaneous dance music), often with no apparent underlying connection between juxtaposed sections.¹²⁰ Compositional unity is hardly the main priority in this music.

The emphasis on the foreground in Chopin's 'brilliant' works and their resultant lack of cohesion cause considerable doubt as to the applicability of the Schenkerian notion of improvisation to this repertoire. Far from being conceived in the unifying 'sweep of improvisation' to which Schenker enthusiastically referred, many of Chopin's early virtuosic pieces tend to resemble what Fétis called a 'sequence of phrases'¹²¹ strung together either without an overall plan or, at best, with a plan closer to the 'formal' models described by Czerny than to the harmonic and contrapuntal outlines used by C.P.E. Bach and other eighteenth-century musicians.

Nevertheless, signs of Chopin's growing sensitivity to tonal structure as an important source of compositional unity can be seen in a few virtuosic pieces composed towards the end of the early period, and it is almost certainly the influence of the 'private' improvisation tradition referred to above, which Chopin mastered in writing his early dance music, that resulted in the structural integrity of these pieces. Having recognised the inherent

weaknesses in the *ad hoc* approach to structure characteristic of earlier 'brilliant' compositions, Chopin appears to have conceived this repertoire more in the manner of the 'improvisatory' dance pieces, i.e., according to an all-embracing harmonic 'plan' or structure based at least in part on principles of voice-leading. Schenker's principles of improvisation are considerably more compatible with these works.

Part II shows how the two different traditions of improvisation practised by the young Chopin, as embodied in the early dance music and the *stile brillante* repertoire, contributed to the formation of his mature 'structural style'. That Chopin ultimately possessed the ability to conceive music 'organically' has been well-established by Schenker and other writers, but the general lack of analytical attention to his early works leaves unanswered the question of how this 'long-range vision' evolved, and specifically how Chopin acquired the 'improvisatory' conception that Schenker considered essential to the composition of tonal masterpieces. Detailed study will show the composer's increasing awareness of tonal structure and his eventual disenchantment with the 'formal' models that influenced him in his musical adolescence.

NOTES TO PART I

¹ Schenker 1979: 9; 1956: 37.

When quoting Schenker, page references from both the English translation and the German original are given as above for the sake of comparison.

² Schenker 1979: 18; 1956: 49.

³

Ob sich im Abwärts des Sextzuges der fallende Oktavzug der Urlinie spiegelt, muß für immer ein Geheimnis des Schöpfungs Augenblickes bleiben, auch der Komponist hätte nicht vermocht, es ans Licht des Bewußtseins zu bringen. (1925; 102-3)

⁴ 1979: 18; 1956: 49.

⁵ See Schenker 1979: xxii; 1956: 16.

⁶ 1979: 18; 1956: 49.

⁷ 1979: 6; 1956: 31. See Solie 1980 and Pastille 1984 for discussion of Schenker's references to 'organic' growth.

⁸

Ich zeige ... der deutschen Meister fliegend Ohr, ihr Stegreifschaffen, ihre Synthese,... (1923b; 55; translation from Schenker 1979: 6)

⁹ 1979: 6; 1956: 32.

¹⁰ 1979: 136; 1956: 208.

¹¹ 1977: 39; 1926: 46.

Schenker uses a number of expressions when referring to improvisation: e.g., *Improvisation*, *fantasieren*, *in extempore* and *aus dem Stegreif*, which literally means 'out of the stirrup' ('wie ein Reiter, der etwas erledigt, ohne abzusitzen', in the words of the Kluge *Etymologisches Wörterbuch der Deutschen Sprache*, 19th edn [Berlin: Walter de Gruyter, 1963], 743).

¹² 1979: 18; 1956: 50.

¹³ 1976: 34; 1908: 14, 15.

¹⁴ 1976: 27; 1908: 10-11.

¹⁵ 1976: 33; 1908: 14.

¹⁶ 1976: 49; 1908: 23.

Note the similarity between these remarks and Schenker 1912: xxxv:

Ist nicht seitdem auch die Kunst des Improvisierens erloschen? (Den historischen Berichten zufolge vermute ich, daß Mendelssohn wohl der letzte gewesen, der diese Kunst noch besaß; ob auch Brahms sie besessen, ist mindestens nicht bekannt geworden!) Und wer weiß, ob nicht gerade mit jener Kunst des Improvisierens der

selbst noch im Pathos anmutig gebliebene Charakter der Empfindung zusammenhing...?

¹⁷ 1954: 337; 1906: 446. This section of *Harmonielehre* is analysed in Vrieslander 1925: 269ff.

¹⁸ 1954: 338; 1906: 447.

¹⁹ 1954: 336; 1906: 445. In this and other excerpts from Schenker 1954, 'preludizing' has been streamlined to 'preluding'.

²⁰ Note in contrast Schenker's remarks on the misuse of counterpoint exercises by 'recent theorists', who 'thoroughly intermixed the principles of counterpoint and those of composition, so that finally the precepts became unusable for both counterpoint and composition alike'. (1987: 1,13f.; 1910b: 20f.).

²¹ 1954: 338-9; 1906: 448.

²² 1954: 338; 1906: 447-8. Cf. Schenker 1912: xxxv (see note 16 above).

²³ 1984: 23; 1910a: 19. (See note 19 concerning the term 'preluding'.)

²⁴ 1984: 23; 1910a: 19.

²⁵ In *Ein Beitrag zur Ornamentik*, Schenker claims that tonal references such as these enhance unity by means of 'group formation' (*Gruppenbildung*): referring to the music of C.P.E. Bach, he writes that tonality 'unites the diverse elements into a single group, without sacrificing the independence of the individual parts' (1976: 28; 1908: 11). Cf. Schenker 1906: §§129ff.

²⁶ 1984: 24; 1910a: 19. See Philipp Spitta, *Johann Sebastian Bach*, trans. Clara Bell and J.A. Fuller Maitland, 3 vols. (London: Novello, Ewer and Co., 1885): iii,181-2 for an extended discussion of the Fantasy, which Schenker cites on these pages.

²⁷ Even at this early stage, Schenker devotes considerable attention to the compositional elaboration of structural models such as this 'background'. In discussing various passages, he refers to the 'specifications' (*Konstruktionsvoraussetzungen*), 'standard' (*Maß*) and 'outline' (*Aufriß*) that Bach appears to have followed, as at the end of the Fantasy, where the composer 'lays his bearings' for the arpeggiation figures in bars 75-9 with the 'simplest sixteenth-note form' in bar 75 (1984: 41; 1910a: 30). Schenker dismisses as unrefined the variants found in some editions, claiming that they replace Bach's model with a far less logical 'standard'. He comments, 'Surely confusion and disorder will reign if the foundation itself is not concise.' (1984: 42; 1910a: 30-1).

²⁸ Schenker frequently uses the term '*auskomponieren*' in the commentary, but with reference to 'conceptually vertical sonorities' rather than all-encompassing harmonic/contrapuntal structures (see Schenker 1984: 78, note 15).

Further mention of compositional 'plans' can be found *passim* in Schenker 1912, 1913, 1914 and 1915.

²⁹ 1921: 23. Translation from Jonas 1982: 131. (Note Jonas' description [1982: 141] of the 'inexhaustible productive power of our masters, their art of improvisation, and their improvisatory art [*ihre Stegreifkunst*]'.)

30

Nun wird man mich, hoffe ich, verstehen, wenn ich sage, daß wie einerseits nur das Gefühl der Urlinie den Meistern die Fähigkeit zur Improvisation als dem Urgrund auch ihrer Auskomponierungs- und Synthese-Kunst, so wie im engeren dann auch die Folgerichtigkeit in der Verwandlung der Prolongationen eintrug, es andererseits den nicht wahrhaft Berufenen an Improvisation, Auskomponierung, Synthese, Prolongationskunst fehlen muß, weil ihnen das sichere Gefühl für die Urlinie versagt ist, aus der allein alle diese Fähigkeiten und Künste erwachsen, (1923b; 46)

31

Überwältigend ist der Eindruck des 32^{te}-Laufes in T, 9-10, der den Zug der Urlinie (a) s-i, (c³) b'-Es, im Sturm durchmißt,... Bei solcher Kühnheit der Improvisation welche Kraft des Organischen! (1922b; 4-5)

32

Was für Improvisationskunst des jungen Meisters! (1922a; 35)

33

Auch stellt sich einem überschnellen Vortrag, wie er heute im Schwange ist, schon das Improvisatorische bei Bach von vornherein innerlich in Widerspruch - und stand nicht bei ihm fast alles auf dem Stehgreif-Schaffen? Offenbar ist die Unfähigkeit zu improvisieren heute zum Hindernis geworden, die nie dagewesene Stehgreif-Kunst eines Bach auch nur nachzuhören - wie denn stets der eine Mangel den andern nach sich zu ziehen pflegt. (1923a; 26)

³⁴ 1923b: 53. Other passing references to improvisation can be found in Schenker 1922b: 3, 10 and 11, and 1923b: 55.

35

Die Geistesgegenwart, mit der unsere Genies den Tonstoff in solcher Art meisterten, hat ihnen ja erst möglich gemacht, weit ausholende Synthesen zu schaffen. Ihre Werke sind eben nicht zusammengeklaut, sondern nach Art der freien Fantasie sofort unrissen und aus einem geheimen Urgrund herausgeführt. (1925; 40)

Certain details of the translation are taken from Bent 1986: 131.

³⁶ 1925: 32. See note 30 for further reference to an *Urgrund*.

³⁷ See note 64 for discussion of the *partimento*.

38

... ich will nur einen bescheidenen Beitrag zur Kunst der Diminution bringen, die das Hauptmittel der freien Fantasie ist,... (1925; 12)

Cf. the extended discussion of diminution in §§251ff. of *Der freie Satz*, where Schenker writes: 'It is clear that the thorough study of such art of

embellishment must necessarily give insight into the art of improvisation.' (1979: 97; 1956: 152).

39

Nicht einmal die in Lehre und Ausführung von den Meistern uns vermachte Kunst der Diminution vermag es mehr zu verstehen, es wendet Ohr und Sinn von einem Grundgesetz ab, dem es weder schaffend noch nachschaffend gewachsen ist, (1925; 11)

40

Die Schönheit der Ausführung liegt also in dem Festhalten sozusagen eines kleineren Brechungsmotivs innerhalb der großen Brechung und im Verhüllen dieses Zusammenhangs durch ein Laufwerk, das bei bestimmter Erfüllung eines Zieles gleichwohl ein ziellos Irrendes vortäuscht, (1925; 28)

⁴¹ See note 11.

⁴² 1977: 39; 1926: 46.

⁴³ 1977: 43; 1926: 48.

This essay is filled with numerous additional references to improvisation, of which the following is perhaps the most significant:

We see that the diminutions could not possibly blossom into such unity - the unity and synthesis of the whole which flows from the fundamental line and the bass arpeggiation - were it not for the miracle of improvisation! (1977; 48; 1926; 50)

See also Schenker 1977: 45, 48 and 50-3; 1926: 49-54.

⁴⁴ See note 10.

⁴⁵ 1979: 138; 1956: 211-12.

⁴⁶ 1979: 128; 1956: 197.

⁴⁷ 1979: 6; 1956: 32.

Schenker also writes: 'Without improvisational gift, that is, without the ability to connect the composition to the middleground and background, no good fugue can ever be written.' (1979: 144; 1956: 217). Other references to improvisation include Schenker 1979: 9 and 142; 1956: 36 and 214.

48

Ce qui paraît certain, c'est qu'à cette époque, les défauts qui semblent inhérents à l'improvisation pouvaient passer pour des qualités: un manque de parfaite logique dans le développement semblait être le fruit d'une imagination primesautière, l'abandon rapide de certaines idées au profit d'idées nouvelles et contrastantes était attribué à une vivacité d'imagination et, en général, l'absence de structure interne pour ordonner parfaitement l'invention, pouvait être interprétée comme une grâce de la fantaisie poétique, (1950; 230)

⁴⁹ Regarding improvisation in the hands of Romantic virtuosos, Wangermée writes: '... on lui a souvent fait le reproche d'être l'apothéose du mauvais goût'. Ibid., 244.

⁵⁰ Accounts of Hummel's extemporaneous performances indicate the eclectic nature of some early nineteenth-century improvisatory music: see *The Athenaeum* (15 May 1830): 301; also Louis Spohr, *Selbstbiographie*, 2 vols. (Cassel and Göttingen: Georg H. Wigand, 1860): i, 206. Cf. Fétis's description of an improvisation by Ignaz Moscheles, quoted in Wangermée 1970: 17-18.

For further information on early nineteenth-century improvisation, see Wangermée 1950 and 1970; Schleuning 1971 and 1973; Suttoni 1973; Poniatowska 1980; Carew 1981; and Samson 1985: 47-8.

⁵¹ 'Lettres d'un bachelier ès musique. A un poète voyageur', [*Revue et Gazette Musicale* (12 February 1837), repr. Jean Chantavoine, ed., *Pages romantiques* (Paris: Félix Alcan, 1912), 104-5. Translation from Grove 1980, s.v. 'Improvisation'.

See Lenz 1872: 34-5 for an amusing anecdote concerning Chopin's reaction to the variants that Liszt composed for Lenz to play in the B-flat major Mazurka Op. 7, No. 1. See also Eigeldinger 1986: 124, note 107.

⁵² Schleuning 1971 contains an anthology of improvisatory music from the eighteenth and nineteenth centuries, some of which is discussed in the introduction (ii, 5-20).

⁵³ Schleuning 1971: ii, 11.

⁵⁴ Note for instance the following passages:

It is one of the beauties of improvisation to feign modulation to a new key through a formal cadence and then move off in another direction. This and other rational deceptions [*vernünftige Betrügereyen*] make a fantasia attractive; but they must not be excessively used, or natural relationships will become hopelessly buried beneath them, (1949: 434; cf. 1762: 330)

Those who are capable will do well when they depart from a too natural use of harmony to introduce an occasional deception [*sondern das Ohr zuweilen betrügen*],... (1949: 439; cf. 1762: 337)

So-called deceptive progressions [*Die sogenannten Betrügereyen*] are also brought out markedly to complement their function, (1949: 163; cf. 1753: 130)

Eighteenth-century improvisatory music is filled with countless examples of 'rational deception'. J.S. Bach's Chromatic Fantasy for instance contains numerous interpolations, concealed lines and elisions, although the most radical *vernünftige Betrügerey* is the enharmonic respelling of F-sharp as G-flat on the second beat of bar 50, which enables Bach to undertake an extensive harmonic parenthesis between bars 49 and 63ff. (See **Example 1**; cf. Rink 1988a: 228.) From G-flat the bass descends chromatically to C-sharp (bars 58ff.), accompanied by a harmonic sequence through B-flat minor, A-flat minor and 'G-flat minor' (F-sharp minor in the score), all of which are avoided by elisions or interrupted cadences. A chromatic progression follows, from 'D-flat minor' (i.e., C-sharp minor) to D major, after which resolution to G minor (the subdominant) occurs in bar 68. Although foreshadowed eighteen bars earlier, G minor is intentionally delayed by the lengthy interpolation between the D major chords (i.e., $\sqrt[4]{16}$) in bars 49 and 63-7.

The extent to which *vernünftige Betrügereyen* govern the structure of certain eighteenth-century improvisatory works can be seen in Mozart's C minor Fantasy K. 475, which Schleuning refers to as a 'masterwork of formal "deception"' (1971: ii, 13). The piece starts with a descending sequence typ-

ical of the genre, except that the goal of the progression - the dominant - is unexpectedly avoided: the descent is reversed in bar 8, and it is not until bar 14 that V⁷ is first heard, although at this point the chromatic motion in the bass carries on to G-flat so that a definitive statement of the dominant is again withheld. (See Example 507a in Salzer 1962 for a graph of the opening bars.) When G major eventually appears in bar 18, it functions contextually not as V but as the submediant of B minor, once again frustrating the listener's expectations.

Oswald Jonas writes of K.475:

The [descending] path to the dominant is so strongly rooted in our consciousness that when the bass begins a descent from the fundamental, the maximum opportunity to generate tension by means of expansion is open to the composer. The release of such tension can even become the content of an entire piece.... In this way the plan for an entire composition - the plan of this Fantasy - grows out of the sense of tonal space, the obligation set up by the composing-out of a fourth-progression [from c to G]. (1982: 73)

The unfulfilled drive towards the dominant, which achieves its goal only near the end of the work (during the dramatic '*recitativo accompagnato*' that begins twenty bars before the return of *Tempo primo*), effectively subordinates what might otherwise seem to be the two most harmonically stable passages in the piece: the D major section (bars 26ff.) and the *Andantino*, in B-flat major. Despite the superficial appearance of a 'changing-note' harmonic structure (c minor → D major → B-flat major → c minor), the Fantasy is in fact based on the more fundamental motion from the tonic to the dominant which transcends the 'changing-note' progression in structural importance. Mozart exploits the effects of this large-scale 'rational deception' throughout the Fantasy: much of the work's drama derives from the withholding of V in several important passages and at various structural levels. In bars 78-81, for instance, one expects the sustained diminished chord on F-sharp to resolve to V, which would thereby dissipate the underlying tension caused by the delay of the dominant earlier in the piece. Instead, however, the diminished harmony moves in bar 82 to V⁷ of B-flat major, and although this paves the way for the *Andantino* (and at the same time closes the harmonic gap left by the abortive F major section in bars 56ff.), the listener is made to wait even longer for the dominant. This makes the arrival on V all the more compelling when it finally occurs in the '*recitativo*'. (For further discussion, see Salzer 1962: i,251-3; Jonas 1968; Schleuning 1971: ii,13-14; Rosen 1972: 91-3; and especially Schleuning 1973: 332-49.)

Another example of large-scale 'rational deception' can be found in Haydn's C major Fantasy from 1789 (Hoboken XVII/4), although here the tensions caused by unexpected harmonic progressions are less profound than in the Mozart. The exposition-like character of the first 87 bars creates the initial expectation of a sonata-allegro movement, but the B-flat major interruption in bar 88 and the numerous modulatory passages that follow abruptly change the piece from a sonata movement to a fantasy based loosely on a rondo form (possibly inspired by C.P.E. Bach's rondos - see Schleuning 1973: 320). For all its unorthodox harmonic motion, however, the work is surprisingly coherent, as the thematic areas are arranged in circle-of-fifths and third-related progressions. As in K.475, the use of 'rational deception' extends to details such as the progression in bars 114-24, which, despite its apparent strangeness, is a fairly simple circle-of-fifths motion from III⁶ through vi, ii and V to the tonic.

Daß Bach auch in der Diminution einer freien Fantasie auf einer genauesten Ordnung besteht und sie nur eben der Fantasie halber hinter dem Schein von Unordnung verbirgt, macht das Unnachahmliche seiner Kunst aus, (1925: 28)

Note also Schenker's remarks in the Chromatic Fantasy edition:

This skillful and extremely important artistic technique [*Kunstgriff*] of creating harmonic connections even across interpolated passages is one of the hidden features of [J.S.] Bach's consummate writing, (1984: 35; 1910a: 26)

Although translated by Hedi Siegel as 'artistic technique', *Kunstgriff* is surely meant more literally in this context, in the sense of 'trick' or 'artifice'. Perhaps even the title of Schenker's essay 'Die Kunst der Improvisation' should be interpreted not only in the sense of the art of improvisation (as it is normally translated), but also with the implication of 'trick' or 'artifice'.

⁵⁶ William Mitchell claims that the Fantasy at the end of the *Versuch* - on which Schenker bases much of his *Meisterwerk* study - only hints at the true nature of Bach's improvisatory technique. Commenting on the relation between the figured plan and the execution, Mitchell writes: 'Under the conditions set by Bach the sample piece could scarcely turn out to be one of his best works. His avowed purpose is to show the student how to construct a free fantasia. Limitations imposed by this aim were severe', although, Mitchell acknowledges, 'for all its circumscribed, unassuming modesty, [the work] breathes the same atmosphere as the famous final piece of the *Probestücke*, also a free fantasia' (Bach 1949: 22).

Reliance on principles of good tonal 'grammar' seems to have been characteristic of Bach's improvisations: see Vrieslander 1925: 268ff.; Schleuning 1973: 146-283; and Ottenberg 1987: 78-85 and 167-71.

Die Kenntnis [*sic*] der Noten, Pausen, Zeichen, Manieren, Taktarten etc, ist die Orthographie.

Der Generalbaß und die Lehre von der Verwandschaft der Töne ist die Etymologie. Nun fehlt ja noch die Prosodie und der Syntax. Denn obgleich im Generalbasse etwas wenig vom Syntax angebracht ist, so hilft dis doch nur in einzelnen Fällen. Der musikalische Syntax fordert mehr, er verlangt Erfindung und Zusammensetzung zugleich, er ist Syntax, Rhetorik und Oratorie. (*Anleitung zur praktischen Musik*, 2nd edn [Leipzig: Breitkopf, 1782], 265)

Wir wollen durch ein Schema der gewöhnlichsten Uebergänge und Ausweichungen dergleichen Anfängern zu Hülfe kommen. (*Anleitung zur praktischen Musik* [Lauban: J.C. Wirthgen, 1767], 148)

⁵⁹ *Anleitung zu der musikalischen Gelahrtheit* (Erfurt: J.D. Jungnicol, 1758).

⁶⁰ *Anleitung zur Fantasie, oder zu der schönen Kunst, das Clavier, wie auch andere Instrumente aus dem Kopfe zu spielen* (Lobenstein: [Georg Sorge, 1767]).

⁶¹ *An Introduction to the Art of Preluding and Extemporizing in Six Lessons for the Harpsichord or Harp* (London: R. Wornum, 1792).

⁶² *Versuch einer Einleitung zum Präludiren für Ungeübtere mit Beispielen* (Leipzig: Breitkopf und Härtel, 1794).

Volume II of Jenkins 1976 contains a detailed handlist of other late eighteenth-century keyboard tutors.

⁶³ Perhaps it is in part for this reason that Bach was so dismissive of contemporary treatises. In his letter dated 11 January 1773 to the *Hamburger unpartheilischer Correspondent*, Bach comments: 'I can assert without anger, and in truth, that every instruction book that I have seen since the publication of my Essay (and I believe I have seen them all) is filled with errors. What I say can be proved if necessary.' (Translation from Bach 1949: 4; see also pp. 8-9.)

⁶⁴ The *partimento* tradition, which was established in southern Italy by the middle of the eighteenth century, provided models for the improvisation of entire keyboard works. The *Riemann Lexikon* defines the *partimento* - literally, 'division' - as

... die Skizze eines polyphonen Satzes in einer fortlaufenden Stimme, die bei häufigen Schlüsselwechsel teils aus bezifferten Generalbass-Partien, teils aus thematischen Linienzügen besteht und als Vorlage für eine weitgehend improvisatorische Ausführung des skizzierten Satzes auf dem Tasteninstrument diente. (*Riemann Musik Lexikon* [Mainz: B. Schott's Söhne, 1967], 707)

Peter Williams writes in Grove 1980 (s.v. 'Partimento') that the term was

... used fairly frequently in the late 18th and early 19th centuries to denote exercises in figured-bass playing, not so much as accompaniments to a solo instrument as self-contained pieces. Composers using this term were very often Neapolitan or Milanese, though the significance of this is unknown. The word may or may not refer to the 17th century practice of divisions, i.e. performing variations on a repeating (figured) bass; more likely it reflects the common Italian practice c1700 of writing bass lines for keyboard players to work into fully-fledged pieces.

Although the *partimento* gradually lost its significance as a model for improvisers, becoming instead a didactic tool with no role in performance, it is possible that the tradition penetrated northern Europe before its demise in the early nineteenth century (although this has never been fully established). Two works attributed to J.S. Bach - BWV 907 and 908 - are referred to in the literature as *partimenti* (e.g., see the *Riemann Lexikon* article cited above), and the plan at the end of C.P.E. Bach's *Versuch* is not unlike some from southern Italy.

Detailed accounts of the *partimento*'s history can be found in Fellerer 1931, 1932, 1939 and 1940; see also Therstappen 1942 and Ferand 1961: 19. Fellerer 1940 and de Nardis 1933 contain examples of *partimenti*.

Rudolf Quoika describes a similar tradition fostered in Prague by Jozef Seger (1716-82), drawing attention in particular to Carl Franz Pitsch's 1834 edition (published in Prague by Marco Berra) of the figured bass models used by Seger in improvisation: *J. Segers bezifferte Bässe in zwei Notensystemen vierstimmig und mit Beziehung auf harmonische Zergliederung durch Angabe des Hauptklanges*. For further discussion see Quoika 1958. It is possible that

Chopin was an indirect heir to this tradition through his teacher Wojciech Żywny; see Part I, Section B for discussion.

The history of eighteenth-century improvisatory models is as yet largely unwritten, and it is therefore unclear to what extent the *partimento* tradition, Seger's figured basses, and the plan at the end of C.P.E. Bach's *Versuch* are related. This will be the subject of a more detailed study to be undertaken by the present author in future.

⁶⁵ To some extent the division between eighteenth- and nineteenth-century improvisatory practices is arbitrary, as the changes from C.P.E. Bach's *Empfindsamer Stil* to the virtuosic tradition practised by Hummel and others occurred only gradually.

Carl Dahlhaus stresses however that improvisatory practices from different historical periods and cultures should be regarded on their own terms and not grouped together as if forming a single tradition. See Dahlhaus 1979; also Globokar 1979.

A comprehensive handlist of early nineteenth-century treatises can be found in Volume II of Jenkins 1976.

⁶⁶ 1983: 2.

⁶⁷ Nevertheless, Wangermée (1950: 242) claims that by 1830, when Czerny published his treatise, virtually nothing was left of the tradition of improvising preludes that C.P.E. Bach had established and that composers such as Mozart had inherited.

For further discussion of Czerny's treatise, see Wangermée 1950: 234ff. and 1970: 20; Schleuning 1973: 350-1; Suttoni 1973: 23ff.; Poniatowska 1980: 11ff.; and Carew 1981: i,210. Cf. Czerny [1848]: i,82-9.

⁶⁸ See Carew 1981: i,209ff. for a more comprehensive account of plans in early nineteenth-century improvisatory music.

⁶⁹ See 'Das Ende der Freien Fantasie' in Schleuning 1973.

⁷⁰ These include the replacement of the salon (where improvisation was often practised) by larger and more formal concerts in which extemporaneous performances were deemed inappropriate, and greater differentiation between composition and improvisation, resulting from the general trend towards specialisation during this period. (See Ferand 1938: 18.) Additional factors are discussed in Schleuning 1973: 350-68.

⁷¹ 1979: 7; 1956: 32.

⁷² The importance of improvisation to these other composers should not however be underestimated. Although it is impossible in this context to address the full implications of how improvisation affected their compositions and the extent to which their 'improvisatory' works are compatible with the Schenkerian principles outlined above, discussion of a few pieces by Beethoven and Schubert follows here.

Beethoven's music in particular was greatly influenced by improvisation, as one might expect from accounts of his extraordinary improvisatory powers (see for instance Czerny 1852: 65 and 1963: 21) and from his numerous 'improvisatory' compositions, among them the two piano sonatas - *quasi una fantasia* - in Op. 27; the finale of Op. 57 (which Beethoven is reported to have impro-

vised before Ferdinand Ries); the Fantasy Op. 77; the *Choral Fantasy* Op. 80; several of the late piano sonatas (Opp. 101, 109, 110 and 111); and the C-sharp minor String Quartet Op. 131. (See Mies 1967 regarding the influence of improvisation on these works.)

The most problematic of these compositions is Op. 77, which has baffled many writers by its defiance of formal and structural norms. Hugh MacDonald (1978: 142) outlines some of the questions posed by the work, dismissing other authors' attempts to demonstrate its ostensible unity and proposing instead that the Fantasy should be viewed as *intentionally* lacking in 'the formal balance and clarity usually found in Classical music': 'The point of the work is that it has no structural point.' (1978: 145). Czerny's account (1852: 65) of how Op. 77 originated - as one of Beethoven's pranks - makes this conclusion seem all the more plausible.

It is difficult to reconcile the Fantasy with Schenkerian principles of improvisation even if one accepts Oswald Jonas's interpretation of the descending B major runs in Beethoven's sketches (in the Deutsche Staatsbibliothek, East Berlin, Landsberg 5 - see Johnson *et al.* 1985: 180-94; also Gustav Nottebohm, *Zweite Beethoveniana*, ed. Eusebius Mandyczewski [Leipzig: J. Rieter-Biedermann, 1887], 274), from which Jonas concludes that the Fantasy is 'in' B major (see Schenker 1914, rev. 1972: 61n.). While the sketched runs could indicate that Op. 77 as initially conceived was intended to be tonally unified (although without detailed examination of the sketches, no such conclusion can be reached), the published version of the Fantasy lacks the closed tonal frame essential to an *Ursatz*. Schenker's principles therefore appear not to apply to this work: Beethoven's 'basic plan' in composing the Fantasy - if indeed he had one at all - would have been fundamentally different from the background and middleground structures on which most of his compositions are based.

Schubert's 'improvisatory' works - among others, the C minor Fantasy D.2e (which was influenced by Mozart K.475); 'Grazer' Fantasy, D.605a; 'Wanderer' Fantasy, D.760; Fantasy in C for violin and piano, D.934; and F minor Fantasy for piano four hands, D.940 - also tend to challenge Schenker's principles, although not to the same extent as Beethoven's Op. 77. The 'Wanderer' is particularly problematic: for all its thematic and rhythmic unity, the work is 'destabilised' by its bold and highly unorthodox tonal scheme. Numerous subsidiary harmonic progressions of a complex nature (some of which were criticised in the Vienna *Allgemeine musikalische Zeitung*, 30 April 1823), combined with an extremely irregular phrase structure and frequent abrupt changes in figuration, lend to the work its almost frenetic energy. Nevertheless, Schubert controls the apparently disordered flow of events not only with abundant motivic references but also by means of the background structure shown in **Example 2**, which he imitates at more immediate levels in order to enhance unity. In the foreground, for instance, the many contextual reinterpretations of g, g-sharp/a-flat and a-natural allude to the $\hat{s}-\flat\hat{s}-\hat{s}$ motion decorating the head note g.

Detailed analysis of the 'Wanderer' Fantasy - not to mention the 'improvisatory' works of other nineteenth-century Schenkerian masters, apart from Chopin - can obviously not be undertaken here. However, the compatibility between this repertoire and Schenker's principles of improvisation will be the subject of an inquiry by the present author in future.

⁷³ Julian Fontana, [Preface to] *Oeuvres posthumes pour piano de Fréd. Chopin* (Paris: Meissonnier, [1855]), 1-2. Translation from Eigeldinger 1986: 282. Krystyna Kobylańska writes however that 'C'est peut-être un jugement

discutable. Marcell Antoni Szulc considère même que Fontana "ose" affirmer ainsi' (Kobyłańska [1989]). See 'Chopin jako nauczyciel muzyki i improwizator', in Szulc 1873: 86-118.

⁷⁴ Delacroix 1948: 294.

⁷⁵ See Wilkońska, Paulina, *Moje wspomnienia o życiu towarzyskim w Warszawie* (Warsaw: Państwowy Instytut Wydawniczy, 1959), 154. Translated in Eigeldinger 1986: 284.

⁷⁶ *Impressions et souvenirs* (Paris: Calmann Lévy, 1896), 85-6.

⁷⁷ In a fascinating letter to her mother dated 10 July 1846, Elisa Fournier (identified by Georges Lubin as 'une jeune femme de La Rochelle') discusses Chopin's extended improvisation at Nohant the previous evening. Having started with an apparently comical rendition of an operatic theme by Bellini, Chopin then improvised

... une prière des Polonais dans la détresse...; puis une étude sur le bruit du tocsin...; puis une marche funèbre.... Enfin sortant de cette inspiration douloureuse et rappelé à lui-même après un moment de repos par quelques notes chantées par Mme George, il nous a fait entendre de jolis airs d'une danse appelée *la bourrée*, qui est tout à fait commune dans le pays et dont les motifs recherchés avec soin par lui, forment un recueil précieux, plein de grâce et de naïveté. Enfin il a terminé cette longue et trop heureuse séance par un tour de force dont je n'avais nulle idée. Il a imité sur le piano les petites musiques qu'on enferme dans des tabatières, des tableaux, etc.... Tout ce perlé, cette finesse, cette rapidité des petites touches d'acier qui fait vibrer un cylindre imperceptible était rendu avec une délicatesse sans pareille, puis tout à coup une cadence sans fin et si faible qu'on l'entendait à peine se faisait entendre et était instantanément interrompue par la machine qui probablement avait quelque chose de dérangé. Il nous a joué un de ces airs, la tyrolienne, je crois, dont une note manquait au cylindre et toujours cette note accrochait chaque fois qu'elle eût dû être jouée.... (Original in the Archives de la Charente-Maritime, Dossier 4J1509; cited in Georges Lubin, *George Sand en Berry* [Paris: Hachette, 1967], 28-9)

⁷⁸ Personal diary (2 February 1844), quoted in Edouard Ganche, *Dans le Souvenir de Frédéric Chopin*, 6th edn (Paris: Mercure de France, 1925), 25. Translation from Eigeldinger 1986: 283-4.

See Chopin's letter to his family dated 26 August 1829 for an amusing account of his improvisation on a theme from Rossini's *Mosè in Egitto*, at the home of Prince Clary in Teplitz (Chopin 1955: i, 101).

⁷⁹ See Kobyłańska [1989] for more detailed discussion of Chopin's improvisations.

⁸⁰ Translation from Eigeldinger 1986: 288-9 (bracketed remarks from page 288, note 32). The improvisation was a last-minute substitution for the *Krakowiak-Rondo* Op. 14 - see Chomiński 1980: 49-50.

Chopin describes his Vienna concerts in a letter dated 12 September 1829 to Tytus Wojciechowski (Chopin 1955: i, 103-6).

M. Chopin, ce pianiste aussi extraordinaire que modeste, a été appelé à la cour dernièrement, pour y être entendu en cercle intime. On a su apprécier [*sic*] là, comme dans une réunion d'artistes, le mérite éminent du jeune compositeur, mais on a surtout admiré ses inépuisables improvisations qui ont presque fait tous les frais de la soirée, et lui ont valu d'unanimes applaudissements. (*Revue et Gazette Musicale de Paris*, v/8 [25 February 1838]: 96)

⁸² See Wangermée 1950: 252.

⁸³ Edith J. Hipkins, *How Chopin played. From Contemporary Impressions collected from the Diaries and Note-books of the late A.J. Hipkins, F.S.A.* (London: Dent, 1937), 7.

Jan Kleczyński's comments are similar: '... [Chopin] himself played his own compositions in different styles according to the inspiration of the moment, and always charmed his audience'. (*How to play Chopin. The Works of Frederic Chopin: Their Proper Interpretation*, trans. Alfred Whittingham [London: William Reeves, (1913)], 62).

⁸⁴ 'Mes souvenirs de Frédéric Chopin', *La Revue Musicale S.I.M.*, ix/12 (1913): 25. (See also pp. 28-30.) Translation from Eigeldinger 1986: 55.

⁸⁵ 1986: 125, note 112.

⁸⁶ C.E. Hallé and Marie Hallé, eds., *Life and Letters of Sir Charles Hallé* (London: Smith, Elder and Co., 1896), 36.

⁸⁷ *Ibid.*, 34.

⁸⁸ Carl Mikuli, ed., Foreword to *Fr. Chopin's Pianoforte-Werke*, 17 vols. (Leipzig: Kistner, [1880]): i,3. Translation from Eigeldinger 1986: 49 (see pp. 49-51 for further discussion of *tempo rubato* as practised by Chopin). See Chomiński 1980: 172 and 177 regarding Chopin, rubato and improvisation.

⁸⁹ Eigeldinger 1986: 118, note 95.

⁹⁰ *Ibid.*, 119, note 95 (where Eigeldinger provides a bibliography on Baroque and Classical rubato vis-à-vis Chopin).

⁹¹ Lenz 1872: 47. Translation from Eigeldinger 1986: 52 (see also page 122, notes 102 and 103).

⁹² Mikuli, op. cit.: i,3. Translation from Eigeldinger 1986: 52.

⁹³ *Frédéric Chopin. Betrachtungen, Skizzen, Analysen* (Cologne-Bayenthal: Fischer und Jagenberg, 1936), 203. Translation from Eigeldinger 1986: 52. (Eigeldinger questions the accuracy of Koczalski's assertion, however: see page 148, note 173.)

⁹⁴ See Eigeldinger 1986: 120-2, notes 98 and 99 regarding the various types of rubato used by Chopin.

⁹⁵ 1986: 122-3, note 105. (See Eigeldinger's Appendix II, pp. 198-243, for discussion of the annotated scores belonging to pupils and associates of Chopin.)

⁹⁶ See Eigeldinger 1986: 77-9, and 150-2, notes 183 and 184, where Eigeldinger suggests that Chopin's debt to John Field (whose influence is particularly apparent in Op. 9, No. 2) might have inspired Chopin 'to impart a more personal stamp to this work, by means of these ornamental clusters which form part of a pianism and an *improvisando* conception transcending some of Field's somewhat fixed stereotypes'.

⁹⁷ 1986: 123, note 105. See also page 123, note 106 for discussion of the 'small groups of added grace notes' (Liszt's phrase) which 'are frequently printed in Chopin's music in small notes which give the impression of improvised ornaments', in works such as the *Andante spianato* Op. 22, the two concertos, and numerous impromptus, mazurkas and nocturnes.

⁹⁸ 1939: 51.

⁹⁹ Letter dated 21 November 1838. Chopin 1962: 163 (cf. Chopin 1955: i, 329).

¹⁰⁰ Letter dated 14 December 1838. Ibid., 165 (cf. Chopin 1955: i, 332). See also Chopin's letter to his family, dated 18-20 July 1845, in Chopin 1972: 140.

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Sa création était spontanée, miraculeuse. Il la trouvait sans la chercher, sans la prévoir. Elle venait sur son piano soudaine, complète, sublime, ou elle se chantait dans sa tête pendant une promenade, et il avait hâte de se la faire entendre à lui-même en la jetant sur l'instrument. (*Histoire de ma vie*, repr. in *Oeuvres autobiographiques*, ed. Georges Lubin, 2 vols. [Paris: Gallimard, Bibliothèque de la Pléiade, 1971]; ii, 446)

Jeffrey Kallberg comments that 'Sand's portrait embellishes that painted by the composer: the keyboard was where the initial inspiration was struck, where the shape of the piece was molded, and later where troublesome passages were thrashed out.' (1982: 156).

The continuation of Sand's account is suspect, however. Kallberg claims that Sand intentionally exaggerated Chopin's difficulties in composing - for which there is no reliable evidence pertaining to this stage of his life - to emphasise her influence in persuading him to adhere to his original ideas (see Kallberg 1982: 156-7).

¹⁰² Quoted in Chopin 1962: 217. The authenticity of this letter has not been established. See Eigeldinger 1986: 142, note 157 for discussion of its mysterious provenance, troublesome similarity to George Sand's remarks (not to mention those of other authors), and inconsistency with letters known to be by Filtsch.

¹⁰³ 1985: 4. Cf. Kallberg's comments in note 101 above. Samson also points out that

For the early nineteenth-century composer-pianist the borderline between improvisation and composition was ... a good deal less clear than it is today. A composition would as often as not begin life as an improvisation, and there are accounts of Chopin's agonised attempts to formulate on paper an idea already perfectly realised at the piano. (1985: 48)

¹⁰⁴ 1988b: 42-3.

¹⁰⁵ 1939: 77.

¹⁰⁶ In his analysis of Op. 28, No. 19, Wallace Berry notes that certain harmonic successions derive from eighteenth-century '"fantasy" or improvisational style' (1976: 36, note 6). Citing several passages similar to the one analysed by Berry, Zofia Chechlińska observes: 'There is no doubt that these non-functional interpolations were innovatory in the harmony of the time, but purely pianistic devices were at their source.' (1988: 151).

¹⁰⁷ See Wangermée's discussion of Romantic cadenzas and their relation to improvisation (1950: 246).

¹⁰⁸ 'Uebersichtliche Beurtheilung der Pianoforte-Kompositionen von Chopin', *Neue Berliner Musikzeitung*, xxvi/36 (1872): 283. Translation from Eigeldinger 1986: 52.

See Dunn [1921] and Ottich 1938 for general discussion of Chopin's ornamentation. A bibliography on the subject is given in Eigeldinger 1986: 124, note 106.

¹⁰⁹ See Eigeldinger 1986: 42-9, and 109-18, notes 69-91 for discussion of musical prosody and declamation, phrasing, *bel canto*, and *legato* and *cantabile* in Chopin's music.

¹¹⁰ 1986: 19.

¹¹¹ 1983: 197-8.

¹¹² Wangermée comments:

Les préludes les plus caractéristiques de l'époque romantique sont ceux de Frédéric Chopin; ils ne préludent à rien et leur allure d'improvisation n'est qu'affectée, car ils sont une stylisation d'un idéal d'improvisation qui avait déjà, effectivement, cessé d'être pratiqué, (1950: 242)

Samson observes however that

Chopin's genre titles are not always an infallible clue to the nature of his music, and it is not entirely clear why he described Op. 28 as 'preludes'. Preluding was an integral part of the improviser's craft and several composers, notably Hummel and Kalkbrenner, had already offered composed-out pieces in all the keys which were intended to serve as literal preludes (Hummel's are no more than a few bars long). Chopin's Preludes are of a different order altogether, presenting a unified cycle of independent pieces which achieve something close to perfection of form within the framework of the miniature, expertly gauging the relationship of the musical substance to a restricted time-scale, (1985: 79)

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¹¹³ Referring to the tradition of 'modulating preludes', Eigeldinger writes: 'In my opinion, Chopin's Prelude op. 45 constitutes his essay in the genre, a personal stylisation of an improvisatory manner.' (1988: 171, note 8; cf. 177, note 27).

In July 1834 Chopin composed an additional prelude, in A-flat major, which was dedicated to Pierre Wolff and was first published (in facsimile) in 1918.

¹¹⁴ For discussion of Chopin's fantasies, see Samson 1985: 193-211, Kallberg 1985 and Schachter 1988. Neither the *Fantasy on Polish Airs* Op. 13 nor the so-called *Fantasy-Improptu* belongs to the genre - see Samson 1985: 193, and Ekier 1978.

¹¹⁵ Chopin's sketch for Op. 57 - KK 774 - is of particular interest: arranged in columns (unlike any other Chopin manuscript), it contains twelve 'improvisatory' variants on a four-bar model (bars 3-6 in the published version), plus the final sixteen bars - i.e., the coda - which extend the model. See Nowik 1988 for further discussion and for a photograph of the sketch.

¹¹⁶ Oskar Kolberg reports for instance that during an evening at the home of Dr Samuel Linde, Chopin improvised three early mazurkas: the G major and B-flat major of 1825-6, and the D major, which was completed in 1829. (See Part II, Chapter 1, Section B.) The early solo polonaises (some of which overlap with the *stile brillante* repertoire - see below) also appear to have had their origins in improvisation, as Samson suggests in discussing the G minor and B-flat major Polonaises from 1817:

In general style and character the two early polonaises probably differed in no essential respects from the many short pieces which [Chopin] was in the habit of improvising on the piano from an early age. Most of them he would not have bothered to write down. (1985: 25)

With regard to the more richly embellished G-sharp minor Polonaise written in 1824, Samson observes that

We know that many of Chopin's dance pieces began life as improvisations and the ornate melodic tracery of the G sharp minor Polonaise has something of the rhapsodic, apparently spontaneous flow of a written-out improvisation. (1985: 31)

¹¹⁷ Żywny studied violin, piano, harmony and counterpoint with Jan Kuchař, who had previously been one of Seger's students in Prague. It is therefore possible that Żywny indirectly inherited Seger's practice of conceiving improvisatory music in terms of figured bass outlines.

¹¹⁸ This is less probable, however, given the unifying harmonic progressions that appear at a structural level in Chopin's early dance music - progressions which could well have been part of the composer's 'basic plan' when improvising these pieces, and which help to avoid the sense of arbitrary sectional concatenation present in the dances of some contemporaries also influenced by the 'private' tradition of improvisation. (See Samson 1985: 25ff. for discussion of the repertoire known to the young Chopin.)

¹¹⁹ 1988b: 58 (where Samson discusses 'public' and 'private' idioms; see also Carew 1981).

¹²⁰ In his review of a Paris concert given by Chopin on 26 February 1832, F.-J. Fétis criticises the looseness of structure in the E minor Concerto Op. 11 (although otherwise the article is enthusiastic):

The modulations are too rich [*trop de luxe*], and there is some disorder in the sequence of phrases, so that sometimes the music seems more improvisatory than planned; these are the defects accompanying the qualities. (*Revue musicale*, vi/5 [3 March 1832]; Translation from Eigeldinger 1986: 290)

See Jean-Jacques Eigeldinger, 'Un concert inconnu de Chopin à Paris', *Revue musicale de Suisse romande*, xxxiv/1 (1981): 2-9.

¹²¹ See note 120 above.

PART II

THE EVOLUTION OF CHOPIN'S 'STRUCTURAL STYLE':

1817-32

Introduction

Although music analysts have tended to neglect Chopin's early works, numerous historians and biographers examine the composer's 'apprenticeship' in some detail, offering valuable insights into the evolution of his compositional style.' By tracing events in his musical 'upbringing' and by referring to isolated passages in the music, these authors show the influences that Hummel, Weber, Paganini, Bellini and others had on the young Chopin.

Existing studies of the early repertoire, although of great importance in enhancing a broader understanding of Chopin's stylistic development, nevertheless fail in general to answer questions alluded to in Part I: how did tonal structure in Chopin's music evolve from his first compositions to far more complex pieces such as the Op. 10 Studies, written towards the end of his 'apprenticeship'? what structural models, if any, did Chopin employ in composing his early music? were his works based on 'formal' principles or were they conceived in the 'improvisatory' fashion that Schenker later described? and did Chopin establish a 'structural style' within a more general stylistic framework?

To answer these questions requires a more comprehensive analytical approach than that adopted in most studies of Chopin's early works. The analyses in the next two chapters broaden conventional definitions of style to encompass tonal structure, which is generally disregarded as an aspect of

style; they therefore focus primarily, but not exclusively, on structural features of the music. Intended not to supplant but rather to complement other studies of the early works, the analyses that follow rely on those studies for context, but at the same time offer insights into important aspects of the music largely overlooked elsewhere. As the music's sophistication develops towards the end of the early period and the relationship between detail and the whole becomes more 'organic' in conception, the analytical approach increases in complexity. In examining the early nocturnes and the Op. 10 Studies, for instance, it would be short-sighted to restrict the analytical focus to tonal structure; equally, a study of motives, rhythm and harmony without reference to underlying structure would be incomplete.

Most of Chopin's early music will be discussed in the next two chapters: mazurkas, waltzes and polonaises composed before 1832; *stile brillante* pieces, with the exception of the two piano concertos;² and the first published nocturnes and studies. Although comprehensive treatment of the repertoire is essential to a thorough understanding of Chopin's emerging 'structural style', certain minor pieces (among them the Sonata Op. 4 and Trio Op. 8) have been omitted. Works of doubtful authenticity (for instance, the E-flat major Waltz, KK 1212) will also not be studied.

Analysis of virtually any piece by Chopin is fraught with uncertainty: the lack of manuscript sources for many works and the existence of multiple autograph copies of others (not to mention glosses in published editions) mean that an *Urtext* edition of Chopin's music is difficult if not impossible to achieve. In the case of the early works, the problem is compounded by disappearance of a particularly large proportion of autograph manuscripts and inaccurate transcription of some pieces by copyists (such as Julian Fontana, whose posthumous edition of Chopin's music indulges in unacceptable editorial

liberties). The authenticity of standard editions thus cannot always be ensured.³

Furthermore, the chronology of the early music is anything but well-established. As Table 1 shows (see pp. 57-8), several different dates of composition have been proposed in the case of numerous works (for instance, Op. 71, Nos. 1 and 3; Op. 7, No. 1; and Op. 34, No. 2). Precise references to compositions in Chopin's correspondence are frustratingly few in number, and rastrological evidence and dates based on manuscript paper can hardly be adduced when no autograph exists. A margin of error of about two years thus applies to the dates of many early pieces, and the 'working chronology' in Table 1 is perhaps the best that can be hoped for, even in a study of stylistic evolution such as this which requires an accurate chronology.

Firm conclusions about Chopin's emerging 'structural style' are made even more elusive by 'inconsistencies' in his development as a composer: in one piece he appears to move towards what would later be seen as his mature style, only to take a step backward in the next.⁴ Furthermore, even though distinct structural models appear in works belonging to different genres, the particular strategies he uses to elaborate and prolong those structures vary remarkably from genre to genre, as does their sophistication. Only towards the end of the early period do Chopin's various techniques of prolongation merge into a single 'structural style', where a set of well-defined compositional principles enables him to elaborate in similar ways the structures of works from different genres.

Notwithstanding the occasional 'setbacks' that occur in his development, a gradual evolution in Chopin's approach to structure can readily be observed and important conclusions drawn. Melodic and cadential patterns inherited not only from the music of his contemporaries but also from Classical

TABLE 1a

'WORKING CHRONOLOGY' OF PIECES ANALYSED
IN PART II, CHAPTER 1

<u>Working Date</u>	<u>Composition</u>		<u>Dates given in Literature</u>		
1817	G minor Polonaise		S 1817	E 1817	B 1817
1817	B-flat major Polonaise		S 1817	E 1817	B 1817
1821	A-flat major Polonaise		S 1821	E 1821	B 1821
1824	G-sharp minor Polonaise		S 1824	E 1824	B 1822
1824	<i>Der Schweizerbub</i> Variations		S 1824	E 1824	B 1826
1825	Rondo Op. 1		S 1825	E 1825	B 1825
1825-6	G major Mazurka		S 1825-6	E 1825-6	B 1826
1825-6	B-flat major Mazurka		S 1825-6	E 1825-6	B 1826
1826	B-flat minor Polonaise ('Adieu')		S 1826	E 1826	B 1826
1826-7	<i>Rondo à la Mazur</i> Op. 5		S 1826-7	E 1827	B 1826
c1827	A minor Mazurka Op. 68, No. 2		S c1827	E c1827	B 1827
1827-8	D minor Polonaise Op. 71, No. 1	K 1827-8	S 1824-5	E 1824-5	B 1825
1827-8	<i>Là ci darem</i> Variations Op. 2		S 1827-8	E 1827-8	B 1827
1828	B-flat major Polonaise Op. 71, No. 2	K 1828	S 1828	E 1828	B 1828
1828	F minor Polonaise Op. 71, No. 3	K 1828	S 1825-6?	E 1825-6	B 1828
1828	Rondo Op. 73		S 1828	E 1828	B 1828
1828	<i>Krakowiak-Rondo</i> Op. 14		S 1828	E 1828	B 1828
1828-30	E minor Nocturne		S 1828-30	E 1828-30	B 1827
1829	D major Mazurka		S 1829	E --	B 1829
1829	<i>Fantasy on Polish Airs</i> Op. 13		S 1829	E 1829	B 1828
1829	<i>Polonaise Brillante</i> Op. 3		S 1829	E 1829	B 1829
1829	G-flat major Polonaise		S 1829	E 1830	B 1829
1829	A-flat major Waltz		S 1829	E 1829	B 1827
1829	E major Waltz		S 1829	E 1829	B 1829
1829	D-flat major Waltz Op. 70, No. 3		S 1829	E 1829	B 1829
1829	B minor Waltz Op. 69, No. 2		S 1829	E 1829	B 1829
1829	A minor Mazurka Op. 7, No. 2, '1st version'		S --	E --	B 1829
1829-30	B-flat major Mazurka Op. 7, No. 1	K 1829-30	S 1830-1*	E 1830-2*	B 1830-1*
c1830	C major Mazurka Op. 68, No. 1		S c1830	E c1830	B 1829
c1830	F major Mazurka Op. 68, No. 3		S c1830	E c1830	B 1829
1830	E minor Waltz		S 1830	E 1830	B 1830
1830-1	A minor Mazurka Op. 7, No. 2		S 1830-1*	E 1830-2*	B 1830-1*

* Dates of individual work within an opus not specified by author; date given relates to entire opus

'Working Dates' have been chosen from the four sources in the following order: K, S, E, B. (For the key to abbreviations, see Table 1b, page 58.)

TABLE 1b

'WORKING CHRONOLOGY' OF PIECES ANALYSED
IN PART II, CHAPTER 2

<u>Working Date</u>	<u>Composition</u>	<u>Dates given in Literature</u>			
1830	F-sharp minor Mazurka Op. 6, No. 1		S 1830*	E 1830-2*	B 1830*
1830	E-flat minor Mazurka Op. 6, No. 4		S 1830*	E 1830-2*	B 1830*
1830	E major Mazurka Op. 6, No. 3		S 1830*	E 1830-2*	B 1830*
1830-1	C major Mazurka Op. 7, No. 5		S 1830-1*	E 1830-2*	B 1830-1*
1831-2	A-flat major Mazurka Op. 7, No. 4	K 1831-2	S 1830-1*	E 1830-2*	B 1830-1*
1831-2	C-sharp minor Mazurka Op. 6, No. 2	K 1831-2	S 1830*	E 1830-2*	B 1830*
1831	F minor Mazurka Op. 7, No. 3	K 1831	S 1830-1*	E 1830-2*	B 1830-1*
1829-32	Rondo Op. 16	K 1832?	S 1829-32	E 1829	B 1832
1830-1	<i>Grande Polonaise</i> Op. 22		S 1830-1	E 1830ff.	B 1830-1
1831-2	E-flat major Waltz Op. 18	K 1831-2	S 1831	E 1833	B 1831
1835?	A minor Waltz Op. 34, No. 2	K 1835?	S 1831	E 1831	B 1831
1830-2	B-flat minor Nocturne Op. 9, No. 1	K 1830-2*	S 1830-2*	E 1830-2*	B 1830-1*
1830-2	E-flat major Nocturne Op. 9, No. 2	K 1830-2*	S 1830-2*	E 1830-2*	B 1830-1*
1830-2	B major Nocturne Op. 9, No. 3	K 1830-2*	S 1830-2*	E 1830-2*	B 1830-1*
1830-2	F major Nocturne Op. 15, No. 1	K 1830-2*	S 1831-3*	E 1831-3*	B 1830-1
1830-2	F-sharp major Nocturne Op. 15, No. 2	K 1830-2*	S 1831-3*	E 1831-3*	B 1830-1
1830	C major Study Op. 10, No. 1	K 1830	S 1830	E 1829-32*	B 1830
1830	A minor Study Op. 10, No. 2	K 1830	S 1830	E 1829-32*	B 1830
1830	G-flat major Study Op. 10, No. 5		S 1830	E 1829-32*	B 1830
1830	E-flat minor Study Op. 10, No. 6		S 1830	E 1829-32*	B 1830
1830-2	F major Study Op. 10, No. 8	K 1830-2	S 1829-32*	E 1829-32*	B 1829
1830-2	A-flat major Study Op. 10, No. 10	K 1830-2	S 1829-32*	E 1829-32*	B 1829
1830-2	E-flat major Study Op. 10, No. 11	K 1830-2	S 1829-32*	E 1829-32*	B 1829
1831	C minor Study Op. 10, No. 12		S 1829-32*	E 1829-32*	B 1831
1832	C major Study Op. 10, No. 7		S 1832	E 1829-32*	B 1832
1832	F minor Study Op. 10, No. 9	K 1832	S 1829-32*	E 1829-32*	B 1829
1832	E major Study Op. 10, No. 3		S 1832	E 1829-32*	B 1832
1832	C-sharp minor Study Op. 10, No. 4		S 1832	E 1829-32*	B 1832

* Date of individual work within an opus not specified by author; date given relates to entire opus

'Working Dates' have been chosen from the four sources in the following order: K, S, E, B.

Key:

K = Dates established by Jeffrey Kallberg on the basis of autograph manuscripts.

S = Samson 1985: 235-8 and *passim*. (Samson's chronology on pp. 235-8 is based in part on Ekier 1974 - see below. Dates given *passim* in the text often differ from those on pp. 235-8, as in the case of the Op. 6 and Op. 7 Mazurkas. Where such a conflict exists, dates have been taken from the text.)

E = Ekier 1974, cited in Chomiński 1980: 218-24.

B = Brown 1960, rev. 1972.

and Baroque traditions form the structure of his earliest compositions. As Chopin matures as a composer, these patterns continue to serve him as structural models (particularly in the dance genres - polonaises, mazurkas, waltzes - on which he could be said structurally to have cut his teeth), but greatly extended and elaborated by embellishment of increasing complexity. Gradually the structural models grow less immediately apparent in the music, although their presence becomes evident on closer inspection. In some works it seems that Chopin deliberately attempts to disguise such structures - as if according to the principles of *vernünftige Betrügerey* - with enharmonic elaboration (and even enharmonic notation),⁵ sequential interpolations and chromaticism.

Ornamentation lies at the heart of Chopin's earliest compositions: from the very first polonaises (most of which were written as virtuosic display pieces) to larger works such as the rondos and variation sets, Chopin practised and gradually refined the art of embellishment. His earlier music often suffers from an uneasy balance between structure and over-enthusiastic ornamentation: many works strain under the weight of extrinsic virtuosic embellishment, which, although not entirely independent from the underlying structure, nevertheless lends a top-heavy quality to the music. Only later did ornamentation become an integral part of the musical argument, enabling Chopin to create the 'ornamental melody' that is surely one of his greatest achievements. Structure and embellishment eventually become inseparable: works such as the E minor Nocturne or the Op. 10 Studies, written towards the end of the early period, could hardly be more 'organically' conceived.

The assimilation of ornamentation into structure that characterises Chopin's emerging 'structural style' can be seen particularly clearly in his use of sequences. In extended compositions such as the rondos and works for

piano and orchestra, Chopin typically bases virtuosic passagework on sequential patterns like the circle of fifths, chains of major and minor thirds, and ascent and descent by whole-tone and semitone. Conceived first and foremost as vehicles for virtuosic glitter, these 'ornamental' sequential passages are usually sandwiched in between clearly-defined points of departure and return - harmonic 'pillars' - which ensure structural coherence no matter how discursive the intervening material might be. The effect, however, is often far from satisfactory. The sequential interpolations could all too easily be excised without causing serious damage to the structure: the relationship between structure and content is at best weak.

As Chopin's 'structural style' evolves, however, the role of sequences dramatically changes. No longer mere colouristic interpolations extraneous to the musical argument, sequences take on structural importance. They lie at the foundation of extended sections within certain works (such as the E minor Waltz; Op. 7, No. 2; Op. 18; the middle section of the *Grande Polonaise* Op. 22; and many of the Op. 10 Studies), and as large-scale consequents they balance structural antecedents (and vice versa). Whether chromatic or diatonic, fifth- or third-based, they become the very structure of many of Chopin's compositions and could in no way be excised from the music.

Given that Chopin's sequential technique was largely fostered by the *stile brillante*, it is ironic that the assimilation of sequences into structure took place not in the extended pieces of the period but in the dance music and other small-scale works. In part this derives from the composer's apparently uneasy attitude towards established formal models: his unique musical language was most effectively and elegantly expressed in forms conceived for a particular compositional purpose, not in the rondos, variations and even the concertos written (at least in part) in response to the contem-

porary demand for such works placed on early nineteenth-century virtuoso-composers. The most original music from Chopin's 'apprenticeship' can be found not in these forms but in the mazurkas, waltzes, nocturnes and studies from later in the period, as well as in the introductions to the extended works (where his ideas had freer rein than in the body of the pieces).

In the dance genres Chopin first attempted to overcome the 'squareness of structure'⁶ and sectional concatenation that formal divisions could have imposed on the music, by means of subtle connections in voice-leading, harmony and even phrase structure. During the first part of the early period (1817-30), three structural models⁷ (distinct from formal models in referring not to the particular succession of themes and sections implicit in a given form, but to aspects of voice-leading and harmony) lie at the foundation of a significant proportion of the music. The first of these (hereafter Model 1 - see **Example 3a**) draws together several sections of a work in a I-V-I progression, where the first section, in the tonic, states the structural $\hat{2}$; the second, in the dominant, the structural $\hat{2}$; and the third, returning to the tonic, the structural $\hat{1}$, as part of a $\hat{2} \hat{2} \hat{1}$ descent. Model 1, equivalent to Schenker's 'interruption form' $\hat{2} \hat{2} || \hat{2} \hat{2} \hat{1}$, appears in about a third of the repertoire analysed in the following two chapters.⁸ The second model (Model 2 - shown in **Example 3b**) has neither a set harmonic plan nor voice-leading linking sections as the $\hat{2} \hat{2} \hat{1}$ descents of Model 1 do; rather, it involves prolongation of the primary melodic tone throughout a work, with more or less independent structural descents in various harmonic contexts growing from the head note. Like Model 1, it is present in roughly a third of the music.⁹ The third model (**Example 3c**) comprises three related but distinct structures: Models NN₁ and NN₂, in which a I-IV-I progression supports a neighbour-note¹⁰ motion in the fundamental line (respectively, $\hat{2}-\hat{2}-\hat{2}$

and $\hat{3}-\hat{2}-\hat{3}$), and Model NN₃, whose neighbour-note motion $\hat{3}-\hat{4}-\hat{3}$ in the fundamental line is accompanied by a i-I-i progression (that is, tonic minor-major-minor).'' Together the three neighbour-note models account for twelve works in Chapter 1 and eight in Chapter 2. Only five of the pieces studied in Chapter 1 have structures dissimilar to Models 1, 2, and NN₁₋₃: the two variation sets; the B-flat major Polonaise (one of Chopin's first compositions) and the *Fantasy on Polish Airs* Op. 13 (conceived as a potpourri), both of which have several discrete structures juxtaposed to form the whole; and, finally, the B-flat major Mazurka of 1825-6, whose structure, although similar to that of the D major Mazurka and Op. 68, No. 1, is nevertheless unique. Variations on the models occur in four of the later works analysed in Chapter 2: Op. 18, Op. 34, No. 2, and Op. 10, No. 12 (all of which extend Model 1's 'interruption form' into more comprehensive structures); and Op. 7, No. 5 (which is based on a version of Model 2).

The great variety with which Chopin prolongs these models in his early works attests to his vast musical imagination, particularly in relation to the music of contemporaries such as Ogiński (whose polonaises, for all their influence on the young Chopin, not only sound rather similar to one another but also lack the interest and unity of Chopin's). Even as an 'apprentice' he writes with great originality and sensitivity to musical effect, although his most expressive writing of course comes later with the mature style. Only when he abandons his instincts and recycles clichés from the prevailing virtuoso style do his early pieces sound predictable.

Although Chopin's 'structural style' developed most consistently in the dance genres, experimentation with larger forms and the *stile brillante* enabled him to overcome what might well be the major structural weakness of his early music: the exact repetition of extended passages and even entire

sections of a work. Not until the end of the early period (and possibly even after his mature style was established) did Chopin fully recognise the expressive potential latent in the *da capo* form he so often used. Nearly all of his polonaises, mazurkas and waltzes written before 1831 (with the notable exception of the E minor Waltz from 1830) end with the first section - often an ABA form in itself - literally repeated. Exact recapitulation in these works not only limits variety and interest: it means that the first section (also the final section) must contain the linear progression that ultimately acts as the fundamental line.

Given that Chopin tends not to make even subtle changes in the (repeated) last section which would highlight the 'real' fundamental line and differentiate it from earlier statements of the same linear progression, structural weaknesses result - weaknesses inherent not in the models Chopin uses but in the literal nature of the recapitulation. The problem is particularly acute in the early solo polonaises: all but the two composed in 1817 have the form ABA CDC ABA, so that the 'fundamental line' descends not once but four times (in each of the A sections). Nothing but its appearance at the end of a work differentiates the 'real' fundamental line from the others.

The gradual assimilation into his 'structural style' of features characteristic of the *stile brillante* indirectly enabled Chopin to overcome these weaknesses. Like most compositions written in the prevailing virtuosic manner, his extended 'improvisatory' showpieces typically end with bravura finales designed to inspire ecstatic applause from his listeners. In five virtuosic works (*Rondo à la Mazur* Op. 5; *Rondo* Op. 73; *Fantasy on Polish Airs* Op. 13; *Polonaise Brillante* Op. 3 for piano and 'cello; and the E minor Waltz, which unlike the four earlier waltzes was composed in a virtuosic style), Chopin ends the main body of the piece and signals the start of the

coda by lengthening the last phrase of the recapitulated A section and extending the closing cadence. These extensions delay 'resolution' to the coda and add structural emphasis to the final A section, differentiating it from earlier statements lacking its definitive sense of closure.

By the time he wrote the Op. 10 Studies and the nocturnes published as Op. 9 and Op. 15, Nos. 1 and 2, Chopin had clearly come to recognise the expressive potential of such extensions. Although he follows an ABA plan in each of the studies and all but one of the nocturnes (Op. 9, No. 2), Chopin avoids the structural weaknesses present in works such as the early polonaises by means of variations within the A section's reprise: in most of these pieces he lengthens the 'final' cadence (that is, the cadence immediately before the start of the coda) and thus highlights the fundamental line's descent, emphasising its structural importance and differentiating it from similar linear progressions earlier in the work. The extensions enhance the climactic role of the cadence, and in generating momentum at the point of closure foreshadow the 'apotheosis'-like reprises (which are similarly derived from the bravura codas of the *stile brillante*) typical of Chopin's later music.

The 'inconsistent' nature of Chopin's stylistic development means that many works written after the first published nocturnes and the Op. 10 Studies suffer from the structural weaknesses found in music from the early period. Not until very late did Chopin fully overcome the constraints that literal recapitulation imposed on his music, and in the end it was his growing sensitivity to the structural (as opposed to formal) underpinnings of the music and his eventual mastery of tonal structure that enabled him to do so.

Chopin's least interesting and least successful music is that in which he appears to set up 'pillars' (whether harmonic, thematic or formal) in

advance, and then to fill in between them without relating the structure - no matter how well-established it might be - to the content. Eventually he learns to embrace entire compositions in a single, 'organically' conceived span, achieving a symbiotic relationship between detail and whole where structure and content are virtually indistinguishable. It is in the early period that he first acquires this 'improvisatory long-range vision': here we see the initial stages in the evolution that ultimately leads to masterpieces such as the Op. 10 Studies, and well beyond.

NOTES TO PART II - INTRODUCTION

¹ The early music is discussed for instance in Samson 1985; Chomiński 1980 and 1963; Belotti 1972; Walker 1966a; Abraham 1939; Jachimecki 1927; and Leichtentritt 1921, 1922 (although this study is confined to published works). Niecks 1888 is also relevant.

² The considerable literature on Chopin's two piano concertos obviates discussion here. See for example Aleksander Frączkiewicz, 'Faktura fortepianowa koncertów Fryderyka Chopina', *Annales Chopin*, iii (1958): 133-55.

³ Referring for instance to the Op. 7 Mazurkas, Jeffrey Kallberg writes: '... the printed versions here cannot really exert any authority over the various manuscript versions' (1988b: 22).

Most of the analyses in the following two chapters are based on the Henle edition, ed. Ewald Zimmermann, which is the most complete *Urtext* edition of Chopin's music. (The series is marred however by printing errors and apparently inconsistent editorial criteria which have caused some questionable readings.) When relevant, reference is made to autograph manuscripts and to other editions, among them the *Complete Works*, ed. I.J. Paderewski, L. Bronarski and J. Turczyński (Cracow: Polskie Wydawnictwo Muzyczne), and the Wiener *Urtext*, ed. Paul Badura-Skoda and Jan Ekier (Vienna: Universal Edition).

⁴ This historicist notion of linear 'progress' towards a goal - i.e., the mature style - is not to be taken altogether literally, as it would enable one to assign relative 'values' to Chopin's early compositions on the basis of their conformance or non-conformance to the mature works. Still, it is undeniable that some pieces counter general trends in the composer's development; see Samson 1985: 41.

⁵ 'Rational deception' via enharmonic notation is of course not unique to Chopin. See for instance the end of bar 46 of the C major Fantasy K.394, where Mozart temporarily substitutes e-flat for d-sharp as if to fool the player that the sustained harmony is a dominant seventh poised to resolve on B-flat major, rather than a German sixth on F. Once d-sharp is restored at the end of the bar, the harmony then resolves 'properly' to V⁷ of a minor.

See Part I, note 54 regarding enharmonic 'disguises' in the Chromatic Fantasy and in K.475.

⁶ Abraham 1939: 40.

⁷ For discussion of models in composition, see Federhofer 1950, Beeson 1971, Nettl 1974, Plum 1979 and Wintle 1982.

⁸ Numerous examples of 'Model 1' appear in *Der freie Satz*. Note for instance Schenker's analysis of the G major Prelude Op. 28, No. 3 in Fig. 76².

⁹ Examples of 'Model 2' in *Der freie Satz* include Figs. 39¹ (Schubert - 'Der Schiffer'), 88² (Brahms - First Symphony, second movement), and 153² (Chopin - Op. 10, No. 1).

¹⁰ Although Schenkerian terminology in this dissertation largely conforms to the 'List of Terms' on pp. 163-4 of Schenker 1979, Ernst Oster's translation of *Nebennote* has been streamlined here from 'neighbouring note' to 'neighbour note'.

See Figs. 32, 40¹ and 76⁵ in *Der freie Satz* for examples of Models NN₁ and NN₂; also, §§92 and 106.

¹¹ Strictly speaking, Model NN₃ involves mixture of major and minor thirds rather than 'neighbour-note' motion: Schenker states in §103 of *Der freie Satz* that 'The mixed third does not represent a linear progression or a neighboring note.' (1979: 41; 1956: 77; cf. Schenker's graph of Op. 17, No. 3 in Fig. 30²). I have chosen nevertheless to group NN₃ with the other neighbour-note models on the basis of general structural similarities. (Salzer also relates mixture and neighbour-note structures: see his analysis of Op. 68, No. 4 in 1962: 181 and Example 387.)

Figured bass notation has been used somewhat unconventionally throughout the dissertation to facilitate the definition of Chopin's 'structural style': in representing chromatic linear and harmonic progressions at a structural level, 'accidentals' have been written *without regard to the key signature*. If for example the structural third is sharpened, it is always shown as $\sharp\hat{3}$ (as opposed to $\sharp\hat{3}$, as in G minor); flattened third scale degrees are written as $\flat\hat{3}$, and flattened structural $\hat{2}$ s and Neapolitan harmonies as $\flat\hat{2}$ and $\flat\text{II}$, even when the corresponding pitch or chord uses sharps (for instance, the first inversion of D major in C-sharp minor would be $\flat\text{II}^{\sharp}$, not $\sharp\text{II}^{\sharp}$). Had conventional notation been employed in the graphs and commentary, comparison between different works would be less straightforward, and one might not immediately recognise the relation between chromatically altered pitches such as $\flat\hat{2}$ (e.g., in a piece in A major) and $\sharp\hat{2}$ (e.g., in an E major work), even though functionally the two are identical.

CHAPTER 1

THE DANCE GENRES, THE *STILE BRILLANTE*, AND THE E MINOR NOCTURNE:

1817-30

A. Four Polonaises; Schweizerbub Variations; Rondos Opp. 1 and 5

Although far simpler than his later works, Chopin's first compositions foreshadow the mature music by planting the seeds of the three structural models outlined above. The earliest surviving pieces - the G minor and B-flat major Polonaises¹ from 1817 - are based on a succession of virtually independent sections, each of which closes with the feminine cadence characteristic of the polonaise. In the G minor, Chopin follows a form typical of numerous contemporary polonaises:²

Section:	Introduction	A	Introduction	B	Trio: C D C'	Introduction	A
Harmony:	i-----		III-----			i-----	

The underlying i-III-i progression (first of the many structural progressions based on thirds in Chopin's music)³ supports a series of discrete 'fundamental structures', as **Example 4** shows. Although self-contained, these structures prolong b-flat throughout the work, either as a head note (in section A) or as a point of arrival (in B and C). The three 'primary melodic tones' (b-flat², d³ and f³) together form an arpeggiation which extends the registral compass and imitates at a structural level the flourish in bars 5 and 9. In section A, d³ - the peak of a middleground arpeggiation from the introduction - acts as a cover tone, subtly anticipating the head note of the following section, where the subsidiary linear descent from f² to b-flat¹ establishes f as an

important pitch - itself an anticipation of the next section's primary melodic tone. These anticipations, as well as the arpeggiation of the three head notes and prolongation of b-flat throughout the piece, draw together the discrete 'fundamental structures' and at least in part overcome the independent quality they impose on each section.

Various details foreshadow Chopin's mature style, among them the changing-note figures in bars 1-2 and 13-14 which, like reaching-over motives, become important stylistic 'fingerprints' in later pieces such as the first nocturnes and many of the Op. 10 Studies. After the flourish in 5 and 9, a miniature version of section A's 'fundamental line' appears in the right hand in a motivic parallelism similar to those in numerous mature works. Chopin's sensitivity to registral connection is evident in the arpeggiation of the three 'head notes'; equally apparent is his characteristic practice of doubling structurally important pitches in inner parts (as in section D). Finally, the Trio contains two overlapping structures equivalent to Schenker's 'freer division form',⁴ which Chopin returns to in later works such as Op. 34, No. 2.

The B-flat major Polonaise from the same year is also based on a succession of discrete 'fundamental structures' (see **Example 5**), although the underlying harmonic progression (I-vi-I), structural voice-leading and form differ:

Section:	Introduction	A	B		Trio:	C	D	C'		Introduction	A	B
Harmony:	I-----					vi--I---	vi			I-----,		

Embedded within the basic I-vi-I progression (between tonal 'relatives', as in the G minor) is the Trio's subsidiary vi-I-vi motion, which contextually redefines the tonic as III/VI .⁵ In the four-bar introduction, Chopin imitates the

structural thirds with a descent from I through vi (thus establishing the submediant in the listener's ear) to IV, reaching V in bar 4.

Although the successive 'fundamental structures' impose an independent character on each section (as in the G minor Polonaise), subtle anticipations and the structural voice-leading help to link the descents. At the background level and to a lesser extent in the middleground, the Trio's \hat{g} - \hat{f} 'fundamental line' (in vi) 'resolves' from g - the goal of the descent - to f in the reprise of A, thus linearly connecting the two sections. Furthermore, the foreground ascents to d^3 in bars 14 and 18 anticipate in register the primary melodic tone of the Trio, first sounded as such several bars later (21). D^3 acts as a point of reference throughout the Trio - as head note, cover tone and goal of section D's ascent, which joins the \hat{f} of sections A and B (i.e., b -flat²) to the Trio's head note, d^3 . Recurrent cadential patterns also draw together the four sections (as in later works such as Op. 18); these occur in bars 9-12, 18-20, 30-2, 40-2 and 33-6 (where the cadence ends on $I^{6/4}$ in the score).⁶

In the A-flat ~~major~~ Polonaise (composed four years later in 1821), Chopin takes his first step towards the *stile brillante*. Written in a virtuosic style marked by elaborate ornamentation, crossed hands, wide leaps and registral extremes, the work is based on a tonal structure far more cohesive than that of the earlier polonaises: Model 1 - in use for the first time - unites the various sections, overcoming divisions implicit in the ABA CDC ABA form. (See Example 6.) Furthermore, the solid structural foundation alleviates any instability caused by a slightly imbalanced phrase structure and the abundant ornamentation.

At the background level, sections ABA articulate three embellishments of structural pitches: $c^2 \rightarrow b$ -flat' $\rightarrow a$ -flat' in both statements of A, and

b-flat' → a-flat' → g' in B.⁷ The Trio has a similar succession of embellishments (in the context of V) and thus resembles ABA in structure. A descent through a major sixth (from c² in bar 1 to e-flat' in bar 59) spans ABA and CDC, further enhancing unity.⁸ Continual reference to the pitch e-flat - as cover tone in A and B and goal of the structural descent in the Trio - also links sections.

Chopin sequentially elaborates the three-note line from b-flat to g in section B (foreshadowing a similar passage in Op. 70, No. 3), and in bars 14, 20-1 and 23 he states the descent in miniature - a motivic parallelism not unlike that in bar 5 of the G minor Polonaise. By crossing the hands in 17-24, he assigns structural pitches to the lower, right-hand part. The arpeggiation that follows - through two-and-a-half octaves - foreshadows the figure in bars 50-1 at the end of D.

Unlike the A-flat major Polonaise (which is the most 'organically' conceived of Chopin's first four pieces), the **G-sharp minor Polonaise** from 1824 'reverts' to the succession of more or less independent structures found in the G minor and B-flat major, although prolongation of the primary melodic tone d-sharp throughout the work - as in Model 2 - helps to mask sectional joins. (See **Example 7.**) The underlying i-III-i progression (between tonal 'relatives' - cf. the first two polonaises) supports three descents from d-sharp to g-sharp (♯-♯) in ABA, and three from d-sharp to b (♯-♯ in III) in the Trio. As in the G minor Polonaise, section D's structure resembles that of the previous section: both C and D have background and middleground neighbour-note motions, and ascending melodic sequences (III: I → ii) in the foreground; furthermore, the chromatic ascent in bars 46-7 reflects the descent through the same pitches in bar 38. Another motivic reference occurs in bars

5-8, where bar 3's descent from g-sharp' to d-sharp' and the ensuing neighbour-note motion appear two octaves higher, extended over four bars.⁹

The work's most noteworthy feature is its ornamentation, which is even more elaborate than that of the A-flat major Polonaise. Chopin embellishes the simple melodic and harmonic outline with trills, wide leaps, arpeggios (some spanning over three octaves) and endless variations in rhythm which endow the Polonaise with a virtuosic, 'improvisatory' character.¹⁰ Remarkable for its effusive variety, the ornamentation disguises a structure essentially no more complex than those of the earlier polonaises, as comparison of the middleground and foreground graphs shows. At the start of the work, the primary melodic tone is elaborately prolonged for a full eight bars until the descent to g-sharp in 9-10, which is then embellished for two more bars until the f-double-sharp in 12. For all their glitter, the Trio's first eight bars merely decorate the structural neighbour-note motion at middleground and background levels, just as the left-hand sweeps in bars 36-7 and the flash of chromatic colour in 38 serve structurally only to postpone bar 39's descent from d-sharp to b.

In itself the structural simplicity of the Polonaise is not a compositional weakness: rather, it is the excessive weight attached to the virtuosic ornamentation that distorts the music and limits its expressive potential. Nevertheless it would be wrong to dismiss the work, for the Polonaise announces one of the principal features of Chopin's 'structural style': the 'improvisatory' embellishment of simple melodic and harmonic structures. With the enhanced sensitivity to balance and proportion that Chopin gradually acquires in this early period, embellishment becomes the basis not only of his 'ornamental melody' but also of entire 'organically' conceived compositions.

Like the Polonaise, the *Variations on a German National Air (Der Schweizerbub)* - written in the same year, 1824 - also have an 'improvisatory' quality, but here Chopin responds even more directly than in the Polonaise to the 'public' improvisation tradition practised in the early nineteenth century. Composed in a 'few quarter-hours',¹¹ the work (which is similar in design to numerous contemporary virtuosic pieces) offers important insights into how Chopin improvised, and specifically into the structural models he might have used.¹² As in Op. 2, the work's 'free material' - which is also its most 'improvisatory' music - is confined to the introduction, the finale, and to a lesser extent the *minore* variation (whereas the first three variations closely follow the theme). Although simple, the harmonic structure of the introduction (see **Example 8**) is not without interest. The circle-of-fifths progression in bars 1-4 (which is a standard harmonic motion at the start of Chopin's 'improvisatory' works - e.g., Op. 73, Op. 13, Op. 14 and Op. 3 - not to mention those of other nineteenth-century composers) leads into a sequential descent of first-inversion harmonies related by thirds, which culminates in ^bVI (in root position) and then V. This chain of thirds - which is characteristic of Chopin's 'structural style' - could well derive from contemporary improvisatory practices, in which sequential patterns provided a useful structural foundation particularly in extended passages.

Unlike the first three variations, the *minore* deviates from the I-V-I pattern established by the theme, based instead on an underlying *i-III-V-i* progression¹³ which forms a single sixteen-bar unit in contrast to the two closed structures in the theme and the first three variations. Another extension occurs in the finale, where Chopin returns to the I → ii progression from the introduction but moves one step further to iii, thus heightening momentum. Whereas in later pieces Chopin distinguishes the start of the coda

by stressing the descent of the fundamental line, here the coda begins virtually without separation from the main body of the work, apart from the *poco più animato* marking (one of the many performance indications in the piece).¹⁴

In 1825 Chopin composed and published his first extended composition, the *Rondo Op. 1*. Similar to the *Schweizerbub* Variations in its response to formal conventions and its 'improvisatory' character (which derives in part from the figuration¹⁵ and sequential structures), the *Rondo* suffers from an uneasy relationship between form and content. Although (in Abraham's words) '[t]he rondo was to the young Chopin an ever present help in time of structural trouble',¹⁶ the work's block-like construction imposes an independence on the thematic sections which the transitions between them can hardly overcome. Chomiński concludes from the harmonic connections that Chopin worked on them later,¹⁷ after first having written the thematic material.

The work is organised according to a logical if unorthodox tonal scheme divided into two phases, as **Example 9** shows: first, an ascent in thirds from C minor through E major and A-flat major back to C minor; then a 'neighbour-harmony' progression through D-flat major to C minor. Virtuosoic passagework based largely on sequential patterns connects these harmonic 'pillars': a descent in thirds (bars 51-64) from C minor through A-flat major to E minor, which reflects the underlying structure in bars 1-158; a stepwise ascent from V of the tonicised E major, then a circle-of-fifths progression arriving at G-sharp minor (which later becomes A-flat major for the non-recurrent Theme C); a descending sequence (140-3) from iv through III, ii and i to V (147), followed by the reprise of Theme A; another descending sequence based on a rising-third, falling-fourth pattern which effects the modulation to D-flat major; and finally a stepwise ascent like that in 81-8, then a prolongation of V until A returns (bar 318).

Chopin's concern for structural 'logic' is apparent not only in the main 'pillars' (i.e., the ascent in thirds and neighbour-harmony progression) but in the sequential passages as well: despite their apparent independence, transitions are often related to themes by reaching the harmonic goal of a sequence - i.e., the key of the following theme - and then continuing to the next sequential harmony. Although the theme that follows appears to establish a new harmony, it simply returns to one tonicised a few bars before.¹⁸

As in the G-sharp minor Polonaise, the Rondo's main weakness lies not so much in its underlying structure (despite its deviation from Classical architectonic norms) as in the 'inorganic' nature of the composing-out. Chopin appears 'formally' to have conceived the work - i.e., as a succession of themes and transitions related principally by juxtaposition - rather than as a harmonic/contrapuntal model to be realised as in figured-bass practice by means of diminution. Imbalance within the phrase structure (for instance, the sequence in bars 41-5 is overextended by two bars) and imperfect proportions in the prolongation of certain harmonies (e.g., G-sharp minor, bars 100-29) exacerbate the separation of background from foreground. To make these criticisms, however, is not to deny the importance of the work as Chopin's first extended composition, nor the exuberance and appeal of some of the figuration: it is principally when viewed in the context of Chopin's later music that the Rondo appears seriously flawed.

In the *Rondo à la Mazur* Op. 5 (written in 1826-7), Chopin overcomes many of the weaknesses inherent in Op. 1 by relating themes and transitions more closely, although formally the work is still a succession of virtually self-contained sections:

Section: A (1st transition) B (2nd transition) A (3rd transition) B (4th transition) A extended Coda
 Harmony: I (.....) IV (.....) I (.....) V (.....) I

Rather more conventional than the earlier rondo's harmonic structure, the underlying I-IV-I-V-I progression (which is also used in Op. 16) forms the basis of the background structure shown in **Example 10**. This treats the thematic sections as if independent of the transitional passages between them, which is how Chopin appears to have conceived the work: themes first, transitions later. The background has three phases: the $\hat{e}-\hat{e}-\hat{e}$ neighbour-note motion and I-IV-I progression (Model NN₁) joining Themes A, B and A; the descent through an octave (from c^2 to c^1 , bars 193-329) linking A's first restatement and the reprise of B in V; and finally the descent of the fundamental line in the extended reprise of A, bars 401-49.

Although absent from the background, the four transitions play an important role in the work by redefining structural priorities from one section to the next: each is given an obvious function. The first transition transfers emphasis from c (primary melodic tone of Theme A) to d (B's primary melodic tone), and two harmonic descents in thirds establish the subdominant. The second transition is based on a middleground ascent from d^2 (B's head note) to f^2 , which marks the return of the tonic and Theme A. In the foreground the three-note ascent is prolonged by another linear motion - from e^1 to a^2 - and an elaborate sequential interpolation based on the circle of fifths, which Chopin disguises by subsidiary circle-of-fifths progressions at the a minor, d minor and g minor stages of the sequence.

The third transition shifts structural emphasis from f (the goal of Theme A's $(\hat{e}-\hat{f})$ descent) to e (head note of Theme B's reprise in V). Similar in places to the first transition, the passage has two circle-of-fifths sequences (the second a reflection of the first) and a descent in thirds from iii (bar 269) through I (274-7) to vi (278-81), leading to $\forall/_{111}$ in bar 285.

The e-f-e neighbour-note motions in 289-91 summarise the third transition's structural function, at the same time reinterpreting $\vee/_{III}$ as III^{*3} of the new key (the dominant), which is fully established in 293. The fourth transition reflects the structural ascent from bars 163ff. Here, the linear motion from e^2 (primary melodic tone of Theme B) to a^1 spans over fifty bars. Similar at first to the second transition, the music takes a different turning in bar 345. A diatonic circle-of-fifths progression and sequential ascent follow in 369ff., leading to V and then the reprise of A.

Chopin differentiates between A's final statement and those before it by extending the structural descent at the end of the theme and thus stressing its importance as the fundamental line. Upon reaching g in bar 431, the music breaks off from the pattern established earlier, entering into an elaborate three-note embellishment of the structural $\hat{2}$ through f and e (as the foreground graph shows). The seventeen-bar extension has four phases: a sequential descent through an octave (f^2-f^1 - bars 433-40); an augmented sixth chord (441-4); $I^{6/4}$ (445-6); and finally V^7 (447-8), which resolves to the tonic and the structural $\hat{1}$ in bar 449. Within the passage, bar 437 is of particular interest: here B major - not B-flat major (which would also have been possible) - is tonicised, so that in the treble the sequential descent articulates not an F major scale but a Lydian collection. This reflects a subtle assimilation of the mazurka's most distinctive feature, the Lydian fourth, into the tonal structure of the Rondo.

The influence of the mazurka on the work's structure (not to mention rhythm and melody, as seen for instance in Theme A's sharpened fourth) is apparent in other ways as well. Jim Samson writes that the 'suppression, or at least containment, of bravura elements in the piano writing in Op. 5' can most likely be attributed to deliberate restraint on Chopin's part 'in favour

of the expressive qualities' of the mazurka, which 'doubtless encouraged the simpler textures and greater consistency of idiom in the *Rondo à la mazur*'.¹⁹ The overall harmonic plan and voice-leading within the background structure can also be traced to the mazurka. By the time he composed Op. 5 in 1826-7, Chopin had written (and probably improvised) mazurkas which, although different in form and character, closely resembled the Rondo in harmonic design and structural neighbour-note motion. These similarities on the one hand, and the substantial differences in tonal structure between Op. 1 and Op. 5 on the other, inevitably lead to the conclusion that by 1826-7 the structural models established in works which derived from the 'folk' or 'national' improvisation tradition - i.e., the mazurkas and polonaises - had begun to influence Chopin's extended compositions in the *stile brillante*.

B. The 'Improvised' Mazurkas and Op. 68, No. 2: 'Adieu' Polonaise

The history of Chopin's first mazurkas - in G major, B-flat major and D major - is complex and confused.²⁰ Apparently Chopin improvised the three at a dance evening and was later urged by Wilhelm Kolberg to record them on paper.²¹ The improvisatory origins of the three mazurkas could explain why each exists in two versions and why their publication history is so involved.²²

Relative to extended works such as Op. 1 and Op. 5, the G major 'Kula-wy'²³ has a solid tonal structure (Model NN₂) closely related to the foreground and the underlying form: the background's I-IV-I progression (embellished by a subsidiary I-III*³-I progression in the middleground) and the $\hat{3}-\hat{2}-\hat{3}$ neighbour-note motion in the fundamental line span the work's five sections:

Structural neighbour-note motion;	$\hat{3}$ ----- $\hat{2}$ ----- $\hat{3}$
Subsidiary middleground progression;	I---III* ³ ---I
Background progression;	I-----IV-----I
Section;	A B A C A,

As the middleground graph shows (Example 11), the primary melodic tone b¹ is embellished in section A by a linear ascent to d² which falls back to b¹. Treated motivically, the arch-shaped 'melody' appears twice,²⁴ harmonised the second time by an authentic cadence accompanying the descent to g¹ (which is sounded with b¹) at the close of the section. With the arrival of the 'third-divider' III*³ (a recurrent structural harmony in Chopin's music noteworthy for its ambiguous identity as either \vee/\vee_1 or III*³), g¹ resolves to f-sharp¹ under the sustained primary melodic tone.

The prolongation of b' through the I-III*^a-I progression linking the first three sections ends at the start of the Trio with the c in bar 25 (c⁴ in the score - the registral peak of the work). This acts not only as a cover tone in the Trio but also as the goal of the (s-î) descent in IV at the close of the section, which linearly resolves to the head note in the reprise of A. Perhaps the most interesting foreground feature is the series of linear ascents throughout the Mazurka, each of which reaches a pitch of structural importance: these include A's six-note ascent to the primary melodic tone, b'; a similar five-note motive in B rising to f-sharp²; and in C a line ending with the Trio's cover tone, c⁴, which fills in the motivic perfect fourth left 'open' in B (i.e., between f-sharp² and b² in bars 10, 12 and 14).

Of Chopin's eight early mazurkas,²⁵ the B-flat is the only one not directly related to the structural models on which such a large proportion of the dance music is based. Its unique structure (see **Example 12**) ingeniously overcomes the sectional divisions implicit in its form - ABCDAB. Three embedded descents (each one imitative of the fundamental line) link A and B, and together with section C's three-note structural descent in vi form the background-level sixth-progression from d² to f' extending through much of the work. Chopin relates background and foreground even more closely than in the G major by using this sixth-progression as a motivic parallelism at the beginning and in section D.

The embedded structure joining A and B comprises a succession of descents from the head note in bar 1. The continual stress on c² and the structural syncopations that result (which are akin to the accented second beat in folk mazurkas, but on a larger scale) lend a pleasantly lopsided feel to A and B, at the same time teasing the listener - originally the dancer -

who, were it not for these structural accents and their effects on the phrase structure, would expect each of the three-note descents to end the passage.

Chopin links C and D in subtle ways: each is based on a structural neighbour-note motion centred on the third scale degree (i.e., the 'head note' in each section: respectively, b-flat and d), followed by a descent to the 'tonic' pitch (g and b-flat). Furthermore, the foreground ascent in the bass from G to B-flat (bars 20-2) joins the two sections just at the point where g resolves to f in the treble.

Subtle sectional links and structural emphasis on the second scale degree also characterise the **D major Mazurka**, but here Chopin deliberately separates background from foreground by delaying the tonic until section A's final beat. The work starts on the dominant, and at foreground and middle-ground levels it thus lacks the tonic 'frame' implicit in the background's I-IV-I progression and $\hat{g}-\hat{e}-\hat{g}$ neighbour-note motion (Model NN₁). Greater distance between foreground and background arises from the work's focus either on a harmony such as \vee/\vee or on V itself (apart from bars 27-38, which are in the subdominant), further undermining the tonic.

Section A stresses V by continually returning to the two pitches, a and e, that define the harmony. In bar 3, Chopin joins these by a descent through a fourth (a^2 to e^2) which is then extended into an octave from a^2 (implicitly prolonged from bar 3) to the a^1 in bar 7. Although subsidiary to the ($\hat{g}-\hat{e}$) structural descent it helps to bring about (as the foreground graph in **Example 13** shows), the octave descent inspires a similar linear motion in section B (bars 9-14), where Chopin connects e^2 and e^1 (registrally displacing the e^1 in the foreground).

The octave progressions in A and B anticipate the remarkable chromatic descent through two octaves connecting e^4 and e^2 in bars 39-43. Although

'scarcely characteristic' of Chopin's mazurka style (if indeed this 'first version' is by Chopin),²⁶ the chromatic passage has an important modulatory function, moving from IV in the Trio to V at the return of section A. The secondary-dominant in 39ff. harmonically anchors the descent and the parallel first-inversion triads accompanying it from bar 41 onward.

If we assume that Chopin made only minor changes in the Mazurka between its original 'improvised' form and this 'composed' state, then the four-bar transition has important stylistic implications: it suggests that similar chromatic passages in Chopin's music derive from the practice of improvisation, which (as Chomiński writes) 'would not be possible without a stock of readily available formulas'.²⁷ Furthermore, the chromatic nature of the passage - which is far more characteristic of the 'public' *stile brillante* works than the early mazurkas in general - indicates that by the late 1820s Chopin had started to draw from more than one style in composing the dance genres (just as the structural models on which they were based began to appear in extended, virtuosic works).²⁸

Although considerable, the distance between background and foreground is overcome in part by motivic and harmonic parallelisms such as neighbour-note motions and plagal relationships (as in section B). It is conceivable that in improvising the mazurka Chopin had as a 'basic plan' the underlying I-IV-I progression and structural neighbour-note motion (although obviously he would not have thought of them in these terms); thus the motivic use of auxiliary figures and subdominant harmonies could have arisen from an attempt to relate detail and whole - that is, to ensure the coherence of the improvisation. Chopin's motivic treatment of dotted rhythms as well as the 'échappée'/appoggiatura figure (in A - bars 3, 5, 6 and 8; and in the Trio - bars 27-38) further enhances unity.

Motivic use of rhythm and harmony is also important in the *A minor Mazurka* (composed c1827 and posthumously published as Op. 68, No. 2). Although the background-level *i-I-i* progression and $\hat{3}-\sharp\hat{3}-\hat{4}\hat{3}$ neighbour-note motion (Model NN₃ - see Example 14) succeed in creating a single structure from successive sections (ABA C ABA), Chopin uses a number of parallelisms to relate the outer sections and Trio to an even greater extent.

The pedal note in the bass firmly anchors the first sixteen bars on the tonic, which prevails over other harmonies such as V (bars 3 and 7). With the relative major in bar 17 comes the first deviation from *i*. The *i-III-V* progression that results joins A, B and the reprise of A in a structure also used in the Trio.

Apart from the subdominant inflections in bars 31 and 32, the Trio stays in the tonic - i.e., the tonic major - until the cadential progression from \vee/iii to *iii* in bar 35. The imitative *ii* → *V* motion that follows in 37 leads back to *I* and the pedal on A (38), which remains until the reprise and the tonic minor's return in 45. Like ABA, therefore, the Trio is built on an underlying *I-iii-V* progression, linking section C's two phrases and breaking away from the tonic harmony and pedal note.²⁹

Jim Samson implicitly attributes the otherwise continual presence of the tonic to the Lydian fourth, which 'influences harmonic structure as well as melodic shape, in that Chopin refuses to accommodate it diatonically'.³⁰ The listener's attention is constantly focused on the sharpened fourth, which assumes various contextual identities: for instance, in the chromatic neighbour-note motion $e^2-d\text{-sharp}^2-e^2$ heard throughout A (in the context of *i*) and in the middle voice in bars 17 and 18 (in *III*); in the changing-note figure in bars 31-2 (in *I*) and bars 35-6 (in *iii*); and as a chromatic passing-note in bars 39 and 43 (in the $\vee/\vee-V-I$ progression).

The sharpened fourth even affects the structural voice-leading, establishing e^2 not as head note but as cover tone by isolating it from c^2 and the structural $\hat{a}-\hat{b}-\hat{c}$ descent.³¹ Chromatic embellishment of the cover tone also acts as a motivic parallelism, reflecting at middleground and foreground levels the fundamental line's chromatic neighbour-note motion.

Other motives enhance unity as well, such as the melodic shape in bars 29-30 and 33-4, which, heard again in 38 *et seq.* (although in a different context within the phrase), is related to the figure in section A (bars 2, 6 and so on). The rhythmic motive in bar 1 (dotted quaver + semiquaver followed by two crotchets) appears in most of the work, making deviations from the pattern as in bars 4, 20 and especially 31-2 and 35 take on particular prominence.

Dotted rhythms also feature in the 'Adieu' Polonaise in B-flat minor (composed in 1826), but in the form of what Samson calls 'a rhythmic motive ... all but ubiquitous in the virtuoso style' in which the work was written.³² Like Op. 68, No. 2, the 'Adieu' contains numerous structural parallelisms based on harmonic motion in thirds, which are probably derived from the $i-III-i$ progression, background-level, between the main sections and from the operatic aria ('Au revoir', from Rossini's *La Gazza Ladra*) that Chopin 'sets' in the Trio. These include $i-III-V$ in A (bars 5-8); $V-III-V$ in B (22ff.); and at a more remote level $III-\sim^1/III-III$ in the Trio.

The 'brilliant' style prevails throughout the Polonaise, as in the earlier G-sharp minor. Noteworthy features include the arpeggiation motive in bars 4 *et seq.* and 53-7; the skipping dotted semiquaver figure (common to many of Chopin's early polonaises) in 17-20, 49 and 51; and the chromatic descent in parallel $e/3$ triads in 57-8, which recalls the similar transitional passage in the D major Mazurka. The descent extends the passage into a six-bar phrase (bars 53-8 - one of many such phrases in the work, such as 27-32 and 47-52),

and in function thus resembles the cascading arpeggiation in 21, which similarly lengthens the phrase from 17-22.

Although irregular phrasing and 'top-heavy' ornamentation distort the work, the 'Adieu' Polonaise nevertheless reveals that Chopin's 'structural style' had developed in the two years separating it from the earlier G-sharp minor. Notwithstanding certain similarities (such as the i-III-i background-level progression, and prolongation of the head note as in Model 2), the two polonaises significantly differ in the way they relate background to foreground. Whereas in the G-sharp minor Chopin moves from one structural level to the next without essentially altering the structure itself (merely filling it in with progressively more elaborate embellishment), in the 'Adieu' he makes important changes in working towards the foreground, 'organically' replicating structural details in the form of harmonic parallelisms derived from the basic i-III-i progression. The result is a considerably more unified structural hierarchy than that of the earlier piece.

C. Stile Brillante: Op. 71 Polonaises; Works with Orchestra; Rondo Op. 73;
G-flat major Polonaise; Polonaise Brillante Op. 3

The polonaises occupy a position of unique importance in the early music. By offering Chopin the security of structural models but also requiring elaborate foreground ornamentation, they developed his ability to realise remote structures and enabled him to master the art of embellishment that eventually became an essential feature of his 'structural style'.

This is particularly true of the D minor, B-flat major and F minor Polonaises of the Warsaw period, which Julian Fontana issued as the posthumous Opus 71 in his 1855 edition.³³ Samson notes that the three 'belong fairly and squarely to the world of the *stile brillante*, remaining as close to Weber as to the mature Chopin, though there are of course hints of things to come',³⁴ not only in the lavish ornamentation but in structural details as well.

Although Paul Hamburger dismisses the D minor Polonaise (along with the F minor) as 'too shallow to be viable',³⁵ the work by no means lacks interest. Subtle connections between sections overcome the challenge to tonal stability posed by a discursive harmonic sequence in the Trio. Furthermore, Chopin establishes a more balanced phrase structure than in earlier polonaises and thus contains the virtuosic ornamentation.

At the most remote structural level (shown in **Example 15**), the basic i-I-i progression and $\hat{3}-\hat{4}-\hat{3}$ neighbour-note motion in the fundamental line join the main sections (Model NN₃ - cf. Op. 68, No. 2). Within this framework, A, B and A are linked by the voice-leading and i-V-i progression of Model 1, and the three sections of the Trio by an ingeniously prolonged motion from the tonic major through III^{♯3} to V - the first time this progression has

a structural role of such importance in Chopin's music (although it also appears in Op. 5 and, in slightly different form, in the 'Adieu' Polonaise and Op. 68, No. 2).

The Polonaise opens with a middleground arpeggiation and ascent to the primary melodic tone, f^2 , in bar 5. Three six-note descents (which are also of motivic importance in the Trio) embellish f^2 , the last of the three accompanied by a linear motion in the bass which climbs towards V and prepares for the completion of the first structural descent to d^2 in bar 12. Section B (where f^2 resolves to $\hat{2} - e^2$ - under a cover tone prolonged from A) is firmly rooted in V until the chromatic descent in diminished sevenths (bars 26-7), which 'temporarily suspends'³⁶ the dominant until \vee/\vee in bar 28 and V^7 in bar 29. Just before the reprise in 30, Chopin 'summarises' the structural voice-leading joining A and B by accenting and adding quaver stems to the melodic pitches in 28-9, f^2 and e^2 . This emphasises $\hat{2}$, also recalling the $e^2-f^2-e^2$ neighbour-note motions in 13-15 and 15-18.

The Trio's prolongation of the tonic major ends in the first bar of D, where an ascending sequence ($\vee/\vee_1 \rightarrow v_1, V \rightarrow I$) precedes \vee/\vee_1 's tonicisation in bar 54 as III^{*3} . In 56 the triplet-semiquaver rhythm announced in the first part of the Trio reenters, launching an extraordinary 'improvisatory' passage lasting until the end of the section. From III^{*3} and iii^{*3} (bar 60) the music moves to $\vee/_{111}$ and then to V, whereupon an ascending sequence in thirds follows; elaborated at each stage by a $ii-V-I$ progression or variation thereof, this returns to III^{*3} in bar 70. Resolution to V occurs in bar 72 with the registrally displaced descent from c-sharp' (70-1) through b' to a' (72). Here, as in 28-9 (where accents highlight the essential voice-leading), the linear descent is stressed by the *sforzando* on the first beat of 72.

The frequent references to III*³ in section D ensure tonal coherence,³⁷ harmonically anchoring the passage and overcoming the potentially destabilising effects of the sequence in 62-9. No matter how far afield the music goes in the foreground, the implicit background presence of III*³ keeps the discursive harmonic motion under control. The Trio is further unified by the I-III*³-V-I progression spanning its three sections, with F-sharp major as the central, pivotal harmony.

Whereas in the 'Adieu' Polonaise irregular phrase lengths exacerbate the imbalance caused by 'top-heavy' ornamentation, here the phrase structure enhances foreground equilibrium, at the same time reinforcing the background structure. The phrase starting in bar 62 ends not with the B major harmony in 68 (which otherwise would appear to be the climax of the passage) but with the arrival on F-sharp major - III*³ - in 70, thus reflecting the relationship at the background level between VI*³ and the structurally more important III*³.³⁸ Earlier in the piece, Chopin provides a four-bar framework for the chromatic descent in diminished seventh harmonies, which avoids the disruptions in momentum caused by similar but less well-defined passages in other early works (such as Op. 1, bars 41-6, and the 'Adieu' Polonaise, bars 57-8).

The tonal stability of the B-flat major Polonaise Op. 71, No. 2 (composed in 1828) is at times even more seriously challenged than in the D minor, although a solid foundation is established by the background structure. This is based on a hybrid of two models (cf. Op. 71, No. 1), with a basic I-vi-I progression spanning the principal sections of the work, a subsidiary I-V-I motion and voice-leading derived from Model 1 joining A, B and A, and a series of descents from the primary melodic tone d² as in Model 2. (See Example 16.)

Various motivic and harmonic parallelisms link the succession of independent structural descents (in contrast to earlier polonaises based on Model

2, which have less 'organically' unified structures). Chopin connects the Trio's three sections in a i-V-i progression similar to that in ABA (although in the context of vi). Furthermore, at the background level, the Trio's ($\hat{e}-\hat{f}$) structural descent 'resolves' to the f' of the introduction, thus creating a sixth-progression from d² to f' - an important motivic parallelism similar to the middleground and foreground sixths in A (11-12 and 19-21) and C (56-8), and to the minor sixth spanning section D in the middleground and background (i.e., d²-f-sharp', bars 68-87).³⁹

The provision of f' to create the motivic parallelism is but one of the introduction's structural functions. For the first time, Chopin draws the introduction into the main body of the work, announcing important thematic and harmonic motives in the opening eight bars and thus laying the groundwork for parallelisms at more than one structural level.⁴⁰ The I-ii-V harmonic motion in bars 1-8 foreshadows the ascending sequence in 25-31, and the changing-note figure in the treble over this motivically important progression also appears later in the work. Although registral displacement 'disguises' it in the foreground, the melody in bars 25-30 is based on the figure, and at the end of D, the structurally significant transitional passage in bars 82-7 closes over the inverted changing-note motive in the bass (86-7).

Paul Hamburger describes bars 82-7 as 'a kind of bridge-passage peculiar to Chopin's polonaises, in which a bass and treble, approaching or receding from each other in regular contrary motion, form sequences that carry a modulatory process to its inevitable goal'.⁴¹ The passage however is an elaborate 'rational deception' which only gives the *impression* of a modulatory sequence. After establishing the 'sequential' pattern in bars 82-4 and reaching the second-inversion of G minor - not its dominant, as anticipated - on the down-beat of 84, Chopin then appears to repeat the pattern in 84-6 but in fact

stays firmly in G minor, ending the 'sequence' after only one complete statement. What little modulation there is occurs very early on, in bars 82-4.

Another attempt to disguise underlying structure can be seen earlier in D. The section starts with a circle-of-fifths progression leading from \forall/\forall to F⁷ (bars 76-7). Here the sequence is interrupted: F⁷ enharmonically functions as a German sixth chord resolving to the second-inversion A major triad in bar 78. Tonicised in 78-9, A major is prolonged in a two-bar phrase extension (80-1) until the 'bridge passage' starts in 82. Although at first the harmonic structure up to this point seems complex (how does the A major interruption fit in?), the passage is given considerable 'logic' by virtue of two structural signposts: the linear descent from d² to f-sharp' and the underlying progression - in vi - from V through \forall/\forall back to V. The harmonic structure is in fact deceptively simple. Between V and \forall/\forall , Chopin inserts the circle-of-fifths sequence, whose motion towards the flat side makes A major sound more like an interpolation than part of the structure. From A major - \forall/\forall - only the two-bar 'F major' passage intervenes until the dominant reenters.

Chopin's control of the passage is remarkable, particularly in view of the foreground's apparent disorder. Whether or not he deliberately attempted to conceal the structure in an 'improvisatory' manner recalling C.P.E. Bach's *vernünftige Betrügerey*, the music's dependence on the background for coherence foreshadows that of more complex later works, indicating significant development in his handling of complicated voice-leading and harmony. Furthermore, the introduction's structural function and the many parallelisms between structural levels represent major strides towards his mature style.⁴²

Although only four bars in length, the introduction in the F minor Polonaise Op. 71, No. 3 also establishes harmonic and motivic parallelisms, among

them the foreground and middleground i-III-i harmonic motion in bars 1-3 (see **Example 17**) which summarises the work's tonal structure. Within the large-scale i-III-i progression at the background level, voice-leading based on Model 1 links A, B and A. 'Resolution' from the $\hat{3}-\hat{2}-\hat{1}$ descent in ABA to the Trio's ($\hat{6}-\hat{1}$) descent in III completes an octave progression from a-flat² to a-flat¹, spanning some ninety-four bars until the reprise of the introduction and section A.

The composing-out from background to foreground imposes a distinctive character on the first part of the work. Whereas other early polonaises based on Model 1 tend to prolong the head note until the structural descent at the end of section A, and then in section B to move immediately to V, here the first $\hat{2}$ enters halfway through A, and in B both V and the second structural g^2 are delayed until well into the section. The relatively 'early' g^2 in A is prepared in 9-15 by an extension of bar 8's cadential figure and a chromatic neighbour-note motion. Once $\hat{2}$ has been reached, a middleground embellishment from g^2 to e^2 leads to the cadence in bar 26. The delay of V and unusual position of the structural g^2 in section B result from the descending sequence in thirds stretching from bar 27 to the end of the section. Although concealed by changes in figuration, this sequential progression reflects the motion in thirds within the work's tonal structure, establishing a $i-III-V$ progression which links A and B in the background.

The introduction foreshadows the cadential motion within the sequential pattern (e.g., $V/III \rightarrow III$, $V \rightarrow i$, etc.) by the related progression in bars 1-2. This accompanies an ascent and descent through a third which is motivically important in bars 8, 9-10, 11-12, 28-30 and 32-4. The neighbour-note motion following the arch-shaped figure also has a significant role, particularly in its chromatic form.

Even more important motivic parallelisms are found at the start of A and C. In bars 7-8, the melody temporarily stops with the authentic cadence and ($\hat{a}-\hat{e}-\hat{i}$) descent in foreground and middleground. This moment of closure (which is unusual for a polonaise melody) plants in the listener's ear the essential structural voice-leading of the first section. Later (in bars 51-2), Chopin states in miniature the ($\hat{e}-\hat{i}$) structural descent in III which forms part of the linear progression through an octave at the background level. As in the other Op. 71 Polonaises, these motivic references tighten the structural hierarchy and lead to a more unified whole.

In the larger works of the early period, Chopin often makes similar attempts to ensure unity, but the unwieldy proportions and different stylistic goals of the 'brilliant' repertoire almost inevitably result in considerable disunity within the foreground, as well as the misalignment of form and structure found in earlier music. As Jim Samson comments,

It would be fruitless to expect formal cohesion and a closely reasoned thematic argument in pieces which were conceived first and foremost as showcases for virtuosic display. In a letter from Vienna [dated 12 August 1829,] Chopin described the rapturous applause which followed each variation of Op. 2. This was quite usual at the time and, if nothing else, it would have made short work of a composer's pretensions to unity.⁴³

Nevertheless, even though the extended virtuosic pieces lack the comprehensive structure and 'closely reasoned argument' evident in smaller compositions from the period, Chopin is able to ensure the coherence of lengthy passages within a work, if not the work in entirety. No matter how much the 'brilliant' figuration conceals it, the structure of these passages anchors the music, rendering it more intelligible than it often sounds on first hearing.

In the *Là ci darem* Variations, Chopin carefully attends to the 'free material' - that is, music not directly based on the theme - which comprises the introduction, the *minore* variation and the finale from bar 45 onwards.⁴⁴

The most original and attractive music is in the introduction, which ends with an 'improvisatory' passage and cadenza in bars 55-63. The arpeggiation from b-flat to d² in the opening bars sets up the introduction's first 'primary melodic tone' (see **Example 18a**), from which the embellished descent to b-flat' leads to the piano's entrance in bar 9. Another descent from d² (bar 10) reaches b-flat' only to climb to the second 'head note', f², which is also the goal of a structural arpeggiation from b-flat through d² to f² in bars 1-16. From here the music moves sequentially through ii (first implied in bar 17 by the expressive D-flat major harmony - $\text{b}^{\text{II}}\text{E}/\text{A}$ - which is also important in the finale) to I (bar 24), accompanying a structural descent from f² (bar 16) to d² (24). Two embedded extensions of c² - i.e., $\hat{2}$ - lead to the cadence in 33.

As in bars 1-16, where one descent follows another, the conclusion of the $\hat{2}-\hat{1}$ structure from 16-33 launches a new descent extending from the f' in 33 to the first bar of the theme. Three sequences accompany the linear structure, of which the second and third form an expansive interpolation between the two G minor 'pillars' in 45-7 and 53. The progression through v^7/v in bar 54 leads to the start of the nocturne-like 'improvisatory' passage in 55, where, grounded in V by a pedal on F, graceful right-hand *fioriture* and left-hand broken chords prolong the structural c² until the resolution to b-flat' on the first beat of the theme.

The security of the introduction's middleground structure allows Chopin great freedom in the foreground: even the discursive harmonic interpolation in bars 45-53 can be accommodated within the structural framework he establishes. Given its 'improvisatory' nature,⁴⁵ it is remarkable that the introduction has such a logical and coherent structure. Chopin exploits this to announce thematic motives as well as other important ideas, among them the chromatic descent in the bass, bars 2-3 (which also appears at the start of

the fifth variation); the D-flat harmony in 17 (later to return in the finale); and circle-of-fifths sequences, on which he builds extended passages in the coda.

Whereas the first four variations closely follow the theme, the fifth deviates from the thematic model. As **Example 18b** shows, the chromatic descent in the first four bars initiates a bass arpeggiation outlining the pitches of the tonic triad and supporting a harmonic descent from *i* through *V* and *III* to *i* (whose abrupt return is marked by a *sforzando*). The descent then carries on through *VI* - which is prolonged until the misspelt augmented sixth harmony on the last beat of 15 - to *V*.

Although in the sixth variation (*Alla Polacca*) Chopin at first makes only minor changes to the structure of the theme, he later abandons the thematic model altogether with the ten-bar parenthesis in 28-37 that briefly interrupts the variation. The passage is oddly familiar: the ascent to *f*³ preceding it in 27 and the D-flat major harmony in 28 immediately recall bars 15-17 of the introduction. (See **Example 18c**.) Furthermore, the parenthesis uses the same sequence as the fifth variation (after the chromatic descent in the bass). Whether coincidental or intentional, these references to other 'free material' place the ten-bar interpolation in a broader context and thus enhance long-range connection.

Unity is hardly the main priority once the bravura finale starts in bar 45. From here until the end, the soloist is put through his paces in a parade of virtuosic pyrotechnics, which Chopin arranges in self-contained sections - many only one or two bars in length - which are defined by cadences and changes in figuration. Although for the most part a pastiche of virtuosic clichés, the finale has one extended passage - bars 51-70 - of interest for its extraordinary harmonic structure. Based on a large-scale interpolation

Bg progression: I iv⁶ I⁶/4 V I

Mg circle-of-5ths: g d a e b f# c# g# (d#⁶/eb⁶)

Fg ascents in 3rds: d F a C e g a C e G B^b d e g B^b d F a (...,more 3rds,...)

Bar: 51 52 53 54 55 56 57 58 59 61 63 64 65 69 70 71

Within the first phase, Chopin stresses the circle-of-fifths 'pillars' by extending each of them for a bar, thus ensuring their prominence over the interpolated ascents in thirds. The accelerated harmonic rhythm from bar 61 dramatically increases momentum until the diminished seventh interruption in 65 ends the sequence. From here the misspelt German sixth harmony (a variation of the subdominant) follows in 67, then the structural descent in 69-71.

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The successive thematic statements are organised in an extended harmonic progression in thirds (shown below and in **Example 19a**):

Theme:	A	B ₁	B ₂	A	B ₁	B ₂	Coda (A)
Harmony:	I	vi		I	iii		I
Bar:	25	65	103	185	253	289	361,

Although remote from the foreground, a background structure based on an interruption form incorporates these as well as other important harmonies. (See **Example 19b**.) Throughout the work, Chopin stresses the pitches in the fundamental line, as in bar 153, where the structural $\hat{2}$ is used to launch a chromatic ascent in the treble, after which d^4 or d^3 is heard in almost every bar until the reprise in 185.

Emphasis on the principal harmonic areas and the fundamental line saves Op. 73 from total foreground 'chaos': otherwise, little attempt is made to link background to foreground, which is filled with endless passagework and sequence after sequence. Only in the introduction is the structural hierarchy more cohesive. (See **Example 19c**.) The four-bar descent from g^1 (bar 5) to d^1 (8) paves the way for a larger-scale linear structure extending to bar 17. A progression from I through ii (cf. the introductions to the *Schweizerbub* Variations, Op. 13 and Op. 14) to V accompanies the four-note descent.

Samson attributes some of the Rondo's weaknesses to the inconsistent nature of Chopin's stylistic development:

It is a bravura piece, technically more assured than Op. 1, but with little enough of Chopin's individual features visible beneath the finery. He was writing *à la mode*, drawing freely upon clichés which some earlier pieces had already discarded. As with most composers in their formative years, his evolution towards a personal voice was far from tidy and consistent, and we need not be surprised that Op. 73 has little of the individuality of the *Rondo à la mazur*, composed two years earlier.⁴⁷

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Another factor explaining the relative lack of sophistication within the foreground is Chopin's attention to underlying structure, and experimentation with its scope and compass. The presence of a background structure like the one here is noteworthy, no matter how remote from the foreground it might be, for it points to a conception more comprehensive than that of other extended compositions from the period (even Op. 5, where the four transitional passages can be removed without causing structural damage). Here Chopin incorporates non-thematic material into the background, assigning pitches from the fundamental line and important harmonies in the underlying tonal progression to transitional passages. Based therefore not on a 'formal' plan (which would be determined by the position of the themes) but rather on a structural conception embracing all of the music, the Rondo is flawed primarily by Chopin's inability to integrate any further the levels within the structural hierarchy: as in other early works, weaknesses arise not from the structure itself but from the composing-out.

The background structure of the *Krakowiak-Rondo* Op. 14 (composed in 1828) is more comprehensive than that of Op. 73. It is also more closely related to the surface of the music by means of important harmonic and motivic parallelisms, despite disruptive sequential interpolations in the foreground and middleground which seriously undermine unity. As in Op. 73, Chopin prolongs subsidiary harmonies within the underlying progression on which the themes are based, thus smoothly connecting the themes at the background level (see Example 20a). The descent from c^2 to g^1 ($\hat{6}-\hat{2}$) in the first part of the background has a cadential succession as its harmonic support:

Structural pitch:	$\hat{6}$		$\hat{4}$		$\hat{3}$		$\hat{2}$		
Harmony:	I	$v/ii + ii$		$v/vi + vi$		$v/v + V$			
Theme:	A	(.....)		B	(.....)				
Bar:	1-70	91-110	111-22	147-78	179-258	295-306	307-38		

In the second part of the background (bars 339ff.), Theme B's supertonic harmony sets up a neighbour-note motion within the fundamental line, whose descent in 615-19 follows the ascending bass progression and the subdominant in 591-610:

Structural pitch:	♯-----♯-----♯ ♯ ♯ ♯ ♯										
Harmony:	I	+	V	vi	+	ii	IV	I ^{6/4}	V	I	
Theme:	A	(.....)				B	(.....)				(Coda)
Bar:	339-402	411-43	483-98	499-558	591-610	615	617	618		619.	

Chopin relates structural levels by using the fundamental line as a motivic parallelism: the introduction, Theme A and bars 59-66 of the orchestral response to A all have structures based on the background's ♯-♯ || ♯-♯ interruption form (see **Examples 20b, 20c and 20d**). Although Theme B deviates from the pattern, its modal harmony shores up important tonal 'pillars'. The pairing of vi and I in the first statement of B (**Example 20e**) restores the tonic after an absence of nearly a hundred bars, and when the theme is later transposed up a fourth in bars 499ff., the tonic's counterpart IV (paired now with ii) anticipates the structurally important subdominant in 591-610.

Various harmonic and motivic references like these connect thematic sections as well as other passages: for instance, the diminished seventh 'interruptions' in the introduction (bar 40) and rondo (71, 259, 403 and 611), some of which launch modulatory passages in an 'improvisatory' manner;⁴⁸ the supertonic harmony in A, the orchestral response and the introduction (where it is part of a I-V-ii-vi-IV-I progression announcing the work's principal harmonies); and the motion from c² to d² in Theme A, the orchestral response and bars 1-110 of the middleground. These offset divisions arising from virtuosic passagework and sequential interpolations, which are based on the circle of fifths (in bars 119-30, 443-58 and 459-80), a rising-third/falling-fourth pat-

tern (427-37), and ascent and descent by whole-tone (75-87, 131-9 and 608-10) and semitone (287-98, 411-27 and 563-73).

Whereas the Krakowiak's background structure and motivic and harmonic parallelisms overcome the impression of discrete sections juxtaposed to form a whole, the absence of a comprehensive underlying structure in the *Fantasy on Polish Airs* means that the work is little more (in Abraham's words) than 'a string of variations on one theme after another, each section being cobbled on to the next with hardly a semblance of art or artifice, and each being happily forgotten once it is done with'.⁴⁹ Apart from the fundamental I-vi-I progression and a handful of common motives (not to mention what Samson calls the 'unity of treatment', which helps to mitigate the 'disunity of substance'),⁵⁰ the Fantasy's three sections are virtually independent within the potpourri form on which the work is based.

As if to compensate for these inherent weaknesses, Chopin invests the long, 'improvisatory' introduction with an innovative tonal structure based on a stepwise ascent from a¹ to a².⁵¹ (See **Example 21a**.) The underlying linear progression extends from bar 1 to the start of the first section, thus embracing the entire introduction (in contrast to the piecemeal structure in the body of the Fantasy). The orchestra sounds the first pitches in the ascent - a¹, b¹ and c-sharp² - and once the piano enters, it prolongs c-sharp³ (the first of two 'primary melodic tones') until bar 32's d-sharp⁴, which arrives after a dramatic shift in register (marked *con forza*). Resolution to e² comes after a brief chromatic interpolation between ♭/♭ in bar 33 and V in bar 35. As the second 'primary melodic tone',⁵² e² resolves to f-sharp² and then g-sharp² in the ascending sequence from I to III*⁵³ in 43-5. The 'improvisatory' passage that follows prolongs the penultimate pitch in the underlying

structure - g-sharp² - in a manner reminiscent of Op. 2's introduction. Resolution to a² comes in bar 56 with the start of the first section.

As in other early pieces, the introduction announces important motives and harmonic relationships, among them the chromatic interpolation in bars 33-5 and the 'improvisatory' prolongation of III*³, which paves the way for the modulation at the end of the first section, where III*³ becomes ♭/♭₁. The sequence from I to III*³ and the octave ascent foreshadow the finale (see **Example 21b**), and the I-III*³-V progression in bars 37ff. lays the groundwork for the many harmonic progressions and sequential passages based on thirds.

Although conceived for virtuosic display, the remarkable interpolation in the second section (bars 196ff. - see **Example 21c**) has a solid structure based in part on chains of thirds. From the interrupted cadence on ♭¹/♭₁ (i.e., D major) in bar 196, a sequential ascent by major and minor thirds pauses on E major (198ff.), from which the sequence continues to 'A-sharp minor' (B-flat minor in the score) in 204. The dim. seventh in 207 launches a return to E major, thus closing the parenthesis between 198 and 212. A descent to C major follows, and then, in 222, C-sharp major (♭/♭₁), which ends the extended interpolation from ♭/♭₁ in 195. The third-based modulation that occurs in 238-46 re-establishes E major as the dominant, after which the tonic enters again several bars later. Once V has returned in 246, the function of the inner interpolation retrospectively becomes clear: the fourteen-bar passage is designed to reaffirm the tonally important E major harmony and thus prepare its return as V in the third section. That the E major parenthesis is embedded between the ♭/♭₁ 'pillars' reflects the subordinate role V temporarily must play relative to ♭/♭₁.

The third section has a similar if less elaborate pair of embedded interpolations. Between the second and third variations of the kujawiak

theme, Chopin inserts a descent in thirds (see **Example 21d**) from I through vi, IV and ii to bVII , at which point the sequence break off. bVII - i.e., G major - resolves to bIII , which leads to i^{b3} and then V. At this point, the interrupted sequence in thirds reaches its goal: V follows as if from bVII , and the low E in bar 306 completes the registral descent that began in 288 but was held in check during the interpolated bars 300-5. Although less ambitious than its counterpart in the second section, the passage similarly uses the embedded interpolations to develop principal thematic motives.

In the G-flat major Polonaise composed in 1830, Chopin recasts in a different mould the two most important structural features of the Fantasy: interpolations within interpolations and the octave ascent in the introduction. (See **Example 22.**) A linear progression at the start of the Polonaise connects b-flat (bar 1) to b-flat' (8), rising chromatically at first but becoming diatonic and thus reflecting the fundamental line's three pitches in a motivic parallelism. The *rallentando* and dynamics in bars 7 and 8 highlight the important three-note motive.

The tonal structure of the Polonaise is based on a hierarchy of progressions in thirds:

Subsidiary progressions:	I---III* ³ ----	vi---III/v ₁ ----vi	I---III* ³ ----						
		(=I)							
Basic progression:	I-----vi-----I								
Section:	A	B	A	C	D	C	A	B	A

The principal harmonies support a succession of structural descents prolonging the primary melodic tone as in Model 2. In the middleground and foreground, Chopin reflects the introduction's linear progression through an octave and thereby links the first two sections in a descent from b-flat² to b-flat'. C and D are similarly joined by a descent through a tenth.

From bar 85 onward, Chopin undertakes a complex elaboration and extension of the five-note structural descent stated earlier in section D. The D major harmony in 85 (enharmonically equivalent to $b^{11}E/V$) launches a circle-of-fifths progression from V through ii to vi, whereupon the sequence breaks off, having established the Trio's 'tonic' (i.e., vi) as the starting-point of a parenthesis extending to bar 106. The interpolation moves first to $b^{11}E/v_1$ (which Chopin spells as E major but treats functionally as F-flat major) and then to the dominant minor (94-6), from which IV follows in 97ff. Here a brief chromatic passage which recalls the ascent to g-flat' in the introduction leads to the E-flat minor harmony in bar 106 and the close of the interpolation from 88.

Whereas the seven-bar chromatic insertion has a fairly limited structural function (i.e., to delay the return of E-flat minor), the larger parenthesis in which it is embedded provides the structural descent's a-flat', as both the diagram below and the middleground graph indicate:

Structural descent;	d ^{b2}	c ^{b2}	b ^{b1}	a ^{b1}	g ^{b1} -----g ^{b1}	(f')							
Harmony;	V	+	ii	+	vi	+	bVII (= ^{IV} / _{IV})	+	IV	+	vi	+	v/ _{v1}
Bar;	86		87		88		90-6		97 (...)		106		108
							(.....E-flat minor parenthesis.....)						

Furthermore, the parenthesis prepares the return of vi as 'tonic' in the reprise of section C; in function it thus resembles the first set of embedded interpolations in Op. 13, which similarly anticipate the key of the following section.

Although 'more traditionally conceived and less ambitious in scope'⁵³ than earlier polonaises such as Op. 71, No. 2, the G-flat major Polonaise is not unimportant, for the octave ascent in the introduction and the embedded interpolations in section D indicate that by 1830 Chopin had started to assim-

ilate structural features of the extended *stile brillante* compositions into smaller genres. Another piece from the late Warsaw period - the *Polonaise Brillante* Op. 3 for piano and 'cello - reveals a stylistic assimilation in the opposite direction, from the dance genres to the virtuosic works. Chopin himself dismissed the Polonaise as 'a series of brilliant effects, a salon-piece for the ladies',⁵⁴ but its unusual form and tonal plan nevertheless point to the broadening of his 'structural style' in the late 1820s.

Whereas earlier polonaises follow a *da capo* form with identical first and last sections, Op. 3 has a different form of interest for its incomplete recapitulation of the ABA section. From the Trio, the music jumps directly to section B, which functions as a bridge passage leading to the reprise of A in bar 129:

Section;	Introduction	A	B	A	C	D	C	B	A	Finale
Principal harmony;	I	I	III ^{*3} + V	I	IV	^v /IV	IV	III ^{*3} + V	I	I
Basic progression;		I-----IV-----I								
Bars;	1-37	1-18	19-41	42-57	58-73	75-96	97-112	113-28	129-48	149-93.

Although this elision causes parallel octaves between sections C (in IV) and B (which starts in III^{*3}), any structural weaknesses which result are more than redressed by the benefits of varied recapitulation. By avoiding a redundant restatement of section A, Chopin emphasises the delayed reprise in bar 129 all the more. As if to differentiate it further from earlier statements, he adds four bars, extending the final cadence - in bars 143-9 - before the coda. The extension highlights the fundamental line's descent to c² in bar 149, distinguishing it from other linear progressions earlier in the piece (whereas in most polonaises from this period, the 'fundamental line' descends several times).

Differentiation of the 'final' cadence and the fundamental line is not unprecedented in Chopin's music: as we have seen, the structural descent and the end of the main body of the work are similarly emphasised in other 'brilliant' pieces such as Op. 13 and Op. 73. The Polonaise's tonal plan however has no precedent, at least within the genre: unlike other early polonaises (most of which have underlying progressions in thirds between tonal 'relatives'), Op. 3 is based on a I-IV-I structure. This progression and the neighbour-note model NN_2 on which the work is built belong neither to the *stile brillante* nor to the polonaise genre, but rather to the mazurkas and waltzes that Chopin had started to compose towards the end of the 1820s. Analysis of these works shows their influence on the virtuosic pieces written at the same time, revealing that progress towards a single 'structural style' was now more rapidly gaining momentum.

D. The Early Waltzes: Op. 68, Nos. 1 and 3; Op. 7, Nos. 1 and 2

In comparison with the extended works from the period, the waltzes and mazurkas written before 1830 at first seem simplistic. On closer inspection, however, their contribution to the evolution of Chopin's 'structural style' is unmistakable. More directly related to the structural models than the *stile brillante* compositions, the two dance genres gave Chopin the security of tonal structure and the smaller formal proportions necessary to develop an organic compositional technique.⁵⁵ The mazurkas were particularly important in this respect, as Chopin attempted to assimilate characteristic features of the folk mazurka such as Lydian fourths and grace-note figures into the structure of these works.⁵⁶

Although less complex than the mazurkas, the early waltzes are attractive pieces whose very simplicity enhanced Chopin's control of structure.⁵⁷ In the A-flat major Waltz from 1829, both the melody and the tonal plan so closely follow Model NN₂ that the underlying structure's presence is felt throughout the work. In form the Waltz resembles the G major and D major Mazurkas, although here Chopin varies section A upon repetition:

Section:	A	A'	B	A'	C	A'
Subsidiary progression:	I-----vi---I					
Basic progression:	I-----IV-----I					

(See Example 23.) Prolongation of the head note c² links A and B, while the Trio is connected to the outer sections by its cover tone, the structural $\hat{1}$.

The fundamental line's neighbour-note motion is foreshadowed at the start of the Waltz by the appoggiatura from d-flat² to c², which Chopin disguises with the changing-note figure and registrally displaced three-note

descent filling in the melodic outline throughout much of A. Although the melody's structural pitches tend to fall on downbeats, rhythmic monotony is avoided by subtle variations such as the the delay of bar 7's c^2 until the third beat (which keeps the phrase 'open' despite the apparent resolution to a-flat' on the downbeat) and the syncopated changing-note figures in bars 13-15 of the second ending, the latter of which places ($\hat{2}$) halfway through bar 14.

Various details anticipate Chopin's mature waltz style: the dominant harmony at the beginning of each section; the countermelody in B (marked with crotchet stems in the foreground graph); and, as Samson notes, the phraseology of the theme and the 'rhythmic motive and melodic contour of the trio, strikingly similar to the main theme of Op. 34 No. 1'.⁵⁸ Some of these features also appear in the E major Waltz, where a chromatic descent through a sixth accompanies the theme in section A, establishing motives which the countermelodies in B and C later return to. (See Example 24.) Although it too is structured on Model NN₂, the E major Waltz differs from the A-flat in two principal respects: its eight-bar introduction (which announces both the tonic harmony and an important neighbour-note motive) and its more symmetrical form:

Section;	Introduction	A	B	A	C	Introduction	A	B	A
Subsidiary progressions;		I	---iii---	I			I	---iii---	I
Basic progression;	I	-----IV-----				I	-----I		

Section B's ($\hat{6}$ - $\hat{1}$) descent in iii completes an octave progression from A's primary melodic tone g-sharp², and as in the A-flat Waltz, the structural $\hat{1}$ becomes a cover tone in the Trio, whose structural descent (in an inner voice at the middleground level) reaches $\hat{2}$ in bar 72.

Throughout the foreground, neighbour-note motives imitate the fundamental line's $\hat{3}-\hat{2}-\hat{3}$ motion, as in bars 9-12, 17-20, 41-4 and 49-52. Other neighbour-note figures occur in A and C as if in response to this important parallelism. Further motivic unity derives from the reaching-over figure in bar 10 *et seq.*, which Chopin uses to decorate the structural descents in A and C. A related suspension figure has a similar function in B.

The D-flat major Waltz Op. 70, No. 3 differs from the A-flat and E major Waltzes in form (AB CDC AB)⁵⁹ and in tonal structure (which is a hybrid of Models 1 and NN₂ - see Example 25):

Fundamental line;	$\hat{3}$ ----- $\hat{4}$ ----- $\hat{3}$	$\hat{2}$	$\hat{1}$
Subsidiary descents;	($\hat{3}$ $\hat{2}$ $\hat{1}$)	(IV; $\hat{3}$ $\hat{2}$ $\hat{1}$)	
Harmony;	I V + IV + I	IV \vee/IV IV I V + IV + I	
		(=I)	
Basic progression;	I-----IV-----I		
Section;	A B	C D C A B.	

Both the Model 1-based voice-leading linking A and B and the harmonic sequence in B ($\vee/\vee \rightarrow V$, $\vee/IV \rightarrow IV$) recall the much earlier A-flat Polonaise, as does the resemblance between the Trio's structure and that of the outer sections. Here the I-IV-I basic progression and the fundamental line's $\hat{3}-\hat{2}-\hat{3}$ neighbour-note motion join the Trio to the outer sections (whereas in the Polonaise sectional divisions are overcome by the background-level sixth-progression from the head note).

As in the E major Waltz, the structural neighbour-note motion acts as a motivic parallelism throughout section A, in bars 1-2, 5-6, 9-10 and 13-14 as well as in the reprise. Use of the motive in B (with differences in pitch) underlines its importance and helps to connect the first two sections, which are further related by B's countermelody, whose chromatic descent 'straightens' the tortuous inner line from A. Later in the work, cover tones smooth

over sectional joins. Unusually, C starts with an ascent to the cover tone, d-flat², which prolongs the final pitch from A. In D, Chopin uses the structural (2) a-flat¹ as a cover tone to the (3-2-1) descent in $\forall/10$, which imitates the fundamental line and follows on from C's structural descent. The dotted-crotchet rhythm and appoggiatura motive in D (bars 49, 51, 53 and 55) recall the melodic figure in B (17, 19, 21 and 23), thus relating the otherwise distinct sections (as in later waltzes such as Op. 18, where subtle motivic connections overcome sectional divisions).

Although similar rhythmic and motivic references enhance unity in the posthumously published **B minor Waltz Op. 69, No. 2**, in most respects it differs from the other waltzes composed in 1829, based not on Model NN₂ but on an underlying i-I-i harmonic progression (as in Op. 68, No. 2) and prolongation of the head note f-sharp² throughout the work (i.e., Model 2 - see **Example 26**). In section A, an arpeggiation extends from bar 1's f-sharp² through d³ (bar 6) to the registral peak, f-sharp³ (13), from which the structural descent follows. Although d³ has greater prominence than f-sharp² in the first part of A, heightened rhythmic activity and the tortuous descent in bars 13-16 confirm f-sharp's role as primary melodic tone.

The i-III-V progression joining A and B is more typical of Chopin's mazurkas than his waltzes.⁶⁰ The Trio has no cover tone, in contrast to Chopin's other waltzes from 1829: connection with the outer sections occurs by means of the prolonged head note f-sharp² and the common rhythmic motive in bars 1-2ff. and 49-50ff. Other motivic references include the reaching-under figure from bar 1, which is assimilated into B's melody (cf. bar 18); bar 5's melodic diminution of the changing-note shape in the bass, bars 1-4; and A's reaching-over figure, which appears again in the Trio (cf. 14-15 and 49-50).

Of the five waltzes written before 1830,⁶¹ the E minor comes closest to the mature waltz style established in Op. 18 and Op. 34. Conceived in a more virtuosic manner than the four earlier waltzes, the work - which is based on Model 2, like Op. 69, No. 2 - opens with an arresting introduction whose four-octave arpeggiation reaches the primary melodic tone b³ in bar 8. (See **Example 27**.) From here follow two closed, symmetrical sections: ABA, and CDC (in the tonic major). After the Trio, the reprise of section A is interrupted by bar 108's diminished seventh chord and an extended chromatic passage which leads to the 'final' cadence in bar 119. A bravura coda then follows.

Although the virtuoso style is most apparent in the introduction and coda, the complex sequential progressions⁶² in B and the waltz rhythm's low profile reveal that Chopin cast his net more widely here than in the earlier waltzes. The varied reprise of section A is an even more distinctive feature. As in other virtuosic works with elaborated 'final' cadences (e.g., Op. 5, Op. 73, Op. 13 and Op. 3), the extension gives greater structural weight to A's last statement, thus highlighting the fundamental line's descent. That the Waltz has a varied recapitulation and cadential extension indicates significant changes in Chopin's approach to the genre, which can be attributed to the merging of features from the dance pieces and the 'brilliant' repertoire into a single 'structural style' (as already observed in the G-flat major Polonaise and the *Polonaise Brillante*).

Even a glance at the mazurkas composed during the late Warsaw period reveals profound similarity to the first four waltzes. Like Op. 70, No. 3, the C major Mazurka Op. 68, No. 1 is based on a hybrid of Models 1 and NN₂ (see **Example 28**), and in form it resembles the E major Waltz:

Section:	Introduction	A	B	A	C	Introduction	A	B	A
Subsidiary progressions:		I---V---		I			I---V---		I
Basic progression:	I-----	IV-----			I-----	I-----	IV-----		

As in three of the early waltzes, Chopin joins the Trio to the outer sections by prolonging the final pitch in A's linear structure as a cover tone over a three-note descent in IV.

The Mazurka's four-bar introduction summarises the basic I-IV-I tonal progression, also establishing the primary melodic tone e' and an important arch-shaped motive (bars 1-2 and 3-4). Chopin cleverly uses ornamental details such as grace-notes, changing-note figures, échappées and appoggiaturas to articulate pitches of structural significance - for instance, b² (bars 7 and 15), e² (24-5), d² (25) and a² (33, 37, 41 and 45) - as comparison of the foreground graph and the score reveals. Derived from Chopin's assimilation of 'folkloristic materials as transforming agents', this use of ornamentation reflects his growing sensitivity to underlying structure. As in earlier mazurkas (e.g., the D major and B-flat major), the second scale degree is emphasised throughout the work.

In the F major Mazurka Op. 68, No. 3, an important motivic parallelism is based on the work's most distinctive feature: the Lydian fourth in the Trio. Although the neighbour-note motions in bars 37 and 41 diatonically 'justify' the e-natural, the ascending figure in 38, 39, 42 and 43 is harder to explain. Chopin avoids the diatonic e-flat in these bars and indeed throughout the Trio not only as a gesture towards modal harmony but in response to middleground structural motives from earlier in the piece.⁶³

The Mazurka is based on a tonal plan similar to that of the G major Mazurka:

Section:	A ₁	A ₂	B	A ₂	C	A ₁	A ₂
Subsidiary progression:	I-----III* ³ ---I						
Basic progression:	I-----IV-----I						

Section A's falling-fourth sequence (I → V vi → iii IV → I) accompanies a melodic line from f² (bar 1) to a' (bar 6) which can be interpreted as either the first part of a structural descent through an octave from f² (which would be the primary melodic tone - see **Example 29a**), or a six-bar 'anacrusis' to a different head note, a', from which a three-note structural descent would follow (see **Example 29b**).

Although the latter interpretation is more compelling (due to the similarities with other mazurkas and waltzes, as well as Model NN₂, that result), the first explanation emphasises the structural neighbour-note motion f²-e²-f² (â-â-â) that links A, B and A at middleground and foreground levels, establishing it as a motivic parallelism with important implications for the voice-leading and harmony in the Trio. The second interpretation attaches less prominence to the neighbour-note motion and thus lacks the (â-â-â) motive's subtle anticipation of the Trio's Lydian fourth.

The two scenarios have much in common despite their differences. In both cases, 'interruption forms' act as a structural motive. Whereas B (in the ambiguous ♭/♯-cum-III^{♯3} harmony typical of Chopin's music) lacks a structural (â) other than that in bar 20 to complete the melodic descent from c-sharp² to a' in bar 24, the Trio stops short on its (â) (bar 44's c³), thus thwarting expectations of a (â-â || â-â) structure which the voice-leading earlier in the section had implied.

Contextual reinterpretation of the Lydian fourth is also the most striking characteristic of the **A minor Mazurka Op. 7, No. 2**. At one point, the opposition between the sharpened fourth d-sharp and its enharmonic counterpart e-flat catapults the music into diatonic confusion, temporarily suspending 'the principle of tonality'.⁶⁴ As in similar passages in Chopin's music, an underlying structural descent stabilises the chromatic progression.

The Mazurka exists in two versions.⁶⁵ The earlier one (1829?) comes from Emilia Elsner's copybook and was first published in the 1902 Supplement to the Breitkopf collected edition. In 1832 Chopin issued a second, substantially revised version as Op. 7, No. 2 (for which no autograph manuscript survives, only a copy of unknown provenance). The two versions greatly differ in form and tonal structure. The first has an eight-bar introduction followed by sections A and B, a brief transitional passage, and then the Trio (CDC) in the tonic major, at which point the work ends. The second version, which lacks both the introduction and the transitional passage, finishes with a reprise of section A. It more closely resembles other works from the period, particularly Op. 68, No. 2:

Section:	A ₁	A ₂	B	A ₂	C	D	C	A ₁	A ₂
Subsidiary progressions:	i------(chromatic)--i				I---*vi---I				
Basic progression:	i-----				I-----i				

The formal differences give rise to two distinct tonal structures. Whereas the second version is based on Model 2 (see **Example 30c**), the first has two separate phases within its fundamental structure (**Examples 30a** and **b**): the prolongation of the head note in A and B ends in the transitional passage with a $\hat{e}-\hat{e}$ descent from e^2 to c^2 ; $c\text{-sharp}^2 - \hat{e}$ - then becomes the new primary melodic tone of the Trio's descent to a^1 .

Although structurally and formally different, the two versions are similar in other respects. Both reiterate the foreground neighbour-note motion $e^2-f^2-e^2$ in section A, establishing it as a motivic parallelism later to return in the Trio as the $e^2-f\text{-sharp}^2-e^2$ figure joining its three sections. In the second phrase of A, the structural descent arrives at the flattened second degree (as in the Trio of Op. 71, No. 2), only implicitly resolving to its diatonic counterpart $b\text{-natural}$ in the penultimate bar of the section.

Chopin syncopates C's structural descent, disguising it further in D. The ascent through d-sharp² to e² at the end of D places the Lydian fourth in yet another harmonic context: \vee^4-3/\vee . Earlier, in A, the sharpened fourth appears as a chromatic passing note, as part of \vee/\vee , and as e-flat' resolving downwards to d. By tonicising B-flat major (bII), the e-flat' is responsible for the flattened second degree in A's structural descent.

A few bars later, the enharmonic Lydian fourth e-flat again exerts its influence. In resolving the implicitly prolonged primary melodic tone from section A, e-flat² launches the chromatic descent and chain of diminished seventh harmonies extending throughout B. In the first few bars of the section, Chopin exploits e-flat's harmonic implications by placing it in the context of various augmented sixth and dominant seventh harmonies. Remarkable as the first chromatic sequence in Chopin's mazurkas, the four-bar passage that follows is exceptionally beautiful: the expressive power created by the harmonic nuances in the bass, falling intervals in the treble, and chromatic descent has no equal in the early mazurkas and waltzes.⁶⁶

Whereas Op. 7, No. 2 was inspired by the kujawiak, the B-flat major **Mazurka** Op. 7, No. 1 derives from a more joyful folk dance - the mazur. Here Chopin almost completely disguises underlying structure with features typical of the dance: wide leaps which registrally displace structural lines, dotted rhythms, accented second and third beats, and once again the Lydian fourth. 'Ornamental' details such as appoggiaturas and neighbour-note motions also have an important structural role.⁶⁷

As in Op. 7, No. 2, the Lydian fourth appears in several contexts: as appoggiatura to f' in section A (bars 6-7 and 10-11), as leading-note in B's dominant harmony (25, 27, 29, 31 and 32), and as the registral frame (e²-e') for the Trio's augmented sixth harmony. Throughout the Trio, the Lydian

fourth is decorated by an f^2 appoggiatura, thus reversing the roles established in A and forming a large-scale neighbour-note motion $f-e-f$ upon resolution of the augmented sixth in bar 52 (see **Example 31**). This reflects at a structural level the numerous neighbour-note motions in the foreground, such as $f-g-f$ (2-4, 8-10 and 25-6ff.), $b\text{-flat}-a-b\text{-flat}$ (9-10 and 21-2), and $c-d-c$ (25, 27, 29 and 31).

Registral and rhythmic displacement of these and other figures creates intricate voice-leading at the foreground level: comparison with the middle-ground shows how thoroughly the structure is concealed. Section A follows the 'freer division form' found in other works such as the E minor Waltz: the first part of the middleground descent from f^2 stops short with the $d-c-d$ neighbour-note motion, only later reaching $b\text{-flat}^1$. Although A's two phrases otherwise appear similar in the middleground, at the foreground level they are quite different, revealing the extent to which figuration disguises structure.

In the background, B's structural descent follows on from A's to form a linear progression through the octave from f^2 to the registrally displaced f^1 (f^2 in the foreground). Although B's 'head note' keeps a low profile, subtle reminders⁶⁸ of its presence prepare for the structural descent to f^2 in bar 32. B's three-note descent anticipates the Trio's, where the augmented sixth harmony supports a linear motion from $d\text{-flat}^2$ to $b\text{-flat}^1$ ($b\hat{2}-\hat{1}$) underneath the $e\text{-natural}$ (Lydian fourth) cover tone.

Chopin's assimilation of the mazur model extends to the phrase structure in A, which is based on a twelve-bar group: $(3 + 3 + 2) + (2 + 2)$ - i.e., $8 + 4$. Although common enough in folk mazurkas, twelve-bar phrases appear nowhere else in Chopin's early mazurkas,⁶⁹ and in fact the one here has a special function. Like other features derived from the mazur, the twelve-bar phrase influences tonal structure: Chopin exploits its asymmetry by giving

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eight bars to the first part of A's structural descent but only four to the second part. This 'imbalance' emphasises the descent through e-flat², d² and c² in bar 11 to b-flat¹ in 12, establishing it as part of the structure. Had Chopin composed an *eight*-bar phrase by jumping from 6 to 11 (which the voice-leading would allow), the structural descent would have proceeded from bar 6's d² through c² (on the second beat of bar 11) to the b-flat¹ in 12, thus relegating the three notes at the end of 11 to an ornamental capacity. The underlying structure would therefore have been significantly different. Bar 8's d³ has particular importance in this 'extended' twelve-bar passage: not only is it the registral peak of the section, but it marks the place where an eight-bar phrase would have ended. As the point of division between the two asymmetrical units, it completes the first part of the structure but at the same time leaves the phrase 'open'. Closure comes only with the descent in bars 11 and 12.

The sensitivity to phrase structure in this passage foreshadows Chopin's use of phrasing to shape structural unfolding in more mature music. That he learned to integrate phrase and tonal structures in works like the mazurkas - whose dance origins could have imposed on the music an 'inevitable squareness'⁷⁰ - is perhaps surprising, and to understand how this aspect of his 'structural style' developed, it is necessary to examine other genres such as the nocturnes and studies. In one of the most important compositions from the Warsaw period - the E minor Nocturne - we discover that phrase structure influences the composing-out to a greater extent than in any other early work.

E. E minor Nocturne

The **E minor Nocturne** is a subtle and sophisticated work whose 'organic' conception draws the structural hierarchy into a closely-knit whole: the theme derives from the background, and ornamental figures such as appoggiaturas control the structural unfolding.⁷¹ As the first of the nocturnes, the E minor sets a stylistic precedent, its graceful left-hand accompaniment and right-hand *fioriture* foreshadowing Chopin's later nocturne style. The work opens with a brief introduction and then a four-bar phrase, A₁, which is stated four times with different responses (see **Example 32a**):

Structural descent:	♯(-♯	♯(-♯	- - - - -	♯		♯(-♯	♯(-♯	i
Section:	Intro.	A ₁ -----A ₂	A ₁ -----A ₂ extended	'Coda'		A ₁ -----A ₂ '	A ₁ -----cadence	Coda
Harmony:	i	i + V V	i + V ascending seq. to V	V		i + V V	i + V V + I ^{*3}	I ^{*3}
Bar:	1	2 - 5 6-9	10- 13 14 - 22	23-30		31-34 35-8	39-42 43 - 46	47-57

Initially A₁ is paired with another four-bar unit, A₂. Its next statement, in 10-13, is answered by an extended passage based on A₂ and then a nine-bar 'coda' prolonging V over a pedal on B¹ until the return of A₁ in bar 31. A variation of A₂ follows, then A₁'s final statement, which leads to the cadence ending the main body of the work. The 'real' coda transposes bars 23-30 to the tonic major, with a pedal on E and a three-bar extension.

Opposition between major and minor tonality is felt throughout the Nocturne. Both A₂ and its extension head towards the dominant minor but instead reach the dominant major, and the 'final' cadence in 43-6 arrives not at the tonic minor but at E major, in which the work ends. Details arising from the major/minor conflict include chromatic passing notes in the right hand (bars

12 and 41), flattened sixths in the two codas (especially in the left-hand chromatic descents - 24-6, 28-30, 48-50 and 52-4), and c-sharp-B appoggiaturas in the first coda, which reinterpret the c'-b figures from A₁ in the context of B major.

Appoggiaturas play an important role throughout the piece, influencing the pace of the structural unfolding and forming a motivic parallelism at every structural level. As the graphs show, A₁ imitates the fundamental line's $\hat{3}-\hat{2}$ descent: the 'ornamental melody' winds its way from g² (bar 2) to f-sharp¹ (bar 5), forming a structural 'appoggiatura' in the background. The statement-response pattern implicit in the $\hat{3} \hat{2} || \hat{3} \hat{2} \hat{1}$ interruption form is relected in the various continuations to the g-f-sharp 'appoggiaturas' in A₁'s four statements: these include a ($\hat{3}-\hat{2}-\hat{1}$) descent in v in bars 7-9 and in the extension of A₂; a neighbour-note motion in A₂' ($\hat{1}-\hat{2}-\hat{1}$ in v); and in bars 45-6 a ($\hat{3}-\hat{2}-\hat{1}$) descent in the tonic (rather than the dominant minor, as in the parallel passage).

Bars 45-6 are based on a motivic parallelism used in two other cadences (bars 18-22 and 51-4), in the melody (2-3, 10-11 and 39-40), and in the bass (1-4 - see **Example 32b**). This derives from the embellishment of the structural $\hat{2}$ f-sharp² at the background level:

	g ²	f-sharp ²	e ²	d-sharp ²	e ²
(Bar: 31	41	44	45	46),	

Although a standard feature of the emerging nocturne style, the accompaniment figure at the beginning itself arises from 'organic' replication of the melody in bars 2-3 (see **Example 32c**). Melody and accompaniment are closely linked throughout the work, as in bar 4, where the right-hand diminished fifth f-sharp¹-c² echoes the left hand's tritone a few quavers earlier,

and bars 6-8, where the appoggiatura f-natural' (i.e., e-sharp') to f-sharp' in the treble prepares for the left-hand's e-sharp-f-sharp motion in bars 7-8. The relation between the two parts is made stronger by means of appoggiaturas: heard at first within the accompaniment, these ornamental figures take on melodic and counter-melodic significance, particularly the c-b and g-f-sharp figures occurring in numerous contexts throughout the work.

Chopin exploits appoggiaturas especially in bars 14-22, where not only ornamentation but phrasing, harmony and structural voice-leading create the most expressive passage in the Nocturne. The nine-bar section is based on an ascent from bar 13's f-sharp' - i.e., $\hat{2}$ - to the d^2 in 18, continuing to f-sharp² in the 'coda' (bar 26). The sequence accompanying the ascent moves from v through VI (14-15) and VII (16) to reach what initially sounds like the tonic in bar 17 but functions as $\sharp v/\downarrow$. Bars 17-18 (which melodically are similar to bars 5 and 6) set in motion a cadence towards the dominant minor; this is completed in 22-3 after a brief interruption.

Particularly prominent in the extension of A_2 , ascents and descents are motivically important throughout the Nocturne. In bar 11, Chopin embellishes the figure from the parallel bar 3 with an ascent to b^2 , paving the way for the structural ascent in 14ff. and for similar ornamentation in 32, 33, 35 and 37. The descending figure in 34 balances bar 33's ascent, also stating the melodic f-sharp two octaves higher than in previous statements of A_1 . Finally, in the first coda, the motion to f-sharp² (bar 26) completes the underlying structural ascent starting in 14, and its counterpart in the second coda restates at a higher register the c-b appoggiatura, thus subtly reaffirming the tonic minor.

The Nocturne's depth of expression derives in part from registral displacements in the bass as well as in the melody, which ensure greater interest

within the left-hand figuration and also enhance important events in the piece. This occurs for instance in the extension of A₂: after the delicate octave transfers in the left hand from bars 14-16, the bass ascent in 16-18 remains within a more narrow tessitura, thus generating greater momentum towards bar 19's climax. Registral variations in the successive statements of A₁ and A₂ also help to reveal the melody in the 'constantly changing lights' referred to by Samson.

The tightly structured and consistently developed musical argument in the E minor Nocturne distinguishes it from most of Chopin's early music, which generally lacks the subtlety and sophistication in evidence here. Even so, although the Nocturne's 'new approach to melody and ornamentation' and organic conception foreshadow later works, Chopin still had considerable ground to cover before acquiring the 'improvisatory long-range vision' that characterises his mature music: the evolution of his 'structural style' extended well into the 1830s, as the analysis in Chapter 2 will show.

F. Summary

Tables 2 and 3 (pp. 123-7 and 128-9) provide an overview of the analyses in Chapter 1, grouping Chopin's early works by structural model and genre and also listing working dates from Table 1 and example numbers from the Appendix. Salient features of each piece are outlined in Table 2 to facilitate analytical comparison.

This study has traced the development of Chopin's 'structural style' in the repertoire composed before 1830. Analysis of the dance genres - polonaises, mazurkas and waltzes - reveals that in his 'apprenticeship' Chopin adapted melodic and cadential patterns from Baroque and Classical repertoire for use as structural models in composing and improvising. Based on symmetrical harmonic progressions (such as I-vi-I, i-III-i, I-IV-I, i-I-i and I-V-I) and recurrent structural voice-leading (e.g., $\hat{3}-\hat{2}-\hat{3}$, $\hat{6}-\hat{6}-\hat{6}$, $\hat{3}-\hat{*}\hat{3}-\hat{4}\hat{3}$ and $\hat{3}\hat{2}||\hat{3}\hat{2}\hat{1}$), the dance pieces are considerably more stable than his contemporaneous music written in the *stile brillante*, which, influenced by the 'public' improvisation tradition discussed in Part I, tends to be 'formally' conceived, with virtually independent sections strung together to create the whole. Composing-out in this music typically occurs by means of interpolation rather than diminution.

An important feature of Chopin's early development is the gradual emergence of a single 'structural style' combining the harmonic and melodic models from the dance genres with certain distinctive features of the 'brilliant' repertoire. This 'structural style', which ultimately would enable Chopin to conceive extended works - even virtuosic pieces - as unified compositional statements rather than as a concatenation of self-contained units,

shaped not only the more sophisticated pieces written in Vienna and Paris towards the end of Chopin's 'apprenticeship' (as Chapter 2 will demonstrate), but also earlier pieces such as Op. 7, Nos. 1 and 2, the E minor Nocturne, and the *Rondo à la Mazur* Op. 5 and *Polonaise Brillante* Op. 3, in which neighbour-note models like those in contemporaneous mazurkas and waltzes stabilise the virtuosic figuration and enhance the music's coherence (in contrast to other 'brilliant' pieces from the Warsaw period - e.g., Op. 73, Op. 13 and Op. 14 - which lack this structural control). In a few early dance pieces as well as many later ones (such as those analysed in the next chapter), Chopin's 'structural style' is further defined by techniques adapted from the *stile brillante* repertoire - techniques of variation and extension to highlight the descent of the fundamental line within a work's reprise and thus to overcome structural weaknesses inherent in much early music, particularly the solo polonaises.

Despite their many weaknesses, the early polonaises were uniquely important in the evolution of Chopin's 'structural style' during the Warsaw period, as they allowed him to refine the art of embellishment (which would later become a hallmark of his mature music) by requiring elaborate ornamentation while at the same time providing the structural security of voice-leading models. Although in certain works the effusive ornamentation distances background from foreground, signs of an increasingly 'organic' conception can be seen in the 'Adieu' Polonaise and the Op. 71 pieces, as for instance in the complex 'improvisatory' prolongations in the trios of these works, which are 'disguised' as if according to C.P.E. Bach's principle of *vernünftige Betrügerey*.

The 'organic' character of Chopin's music was also fostered in other early dance pieces, particularly the mazurkas, where 'folkloristic' elements

such as Lydian fourths, grace notes, échappées, appoggiaturas, neighbour-note motives and even the twelve-bar phrases typical of some folk mazurkas were assimilated into underlying structure. (This occurs for instance in the *Rondo à la Mazur*, where the Lydian fourth in F major assumes a structural role just before the fundamental line descends.) 'Organic' conception was further enhanced in the early waltzes, in which the structural models lie close to the surface, giving rise to numerous motivic and harmonic parallelisms. (These works are among the first characterised by the generic cross-fertilisation typical of later music: structurally the B minor Waltz resembles the mazurkas, and the E minor is highly virtuosic, with an elaborate extension like those in the *stile brillante* repertoire to highlight the fundamental line's descent towards the end of the work.) Chopin's increasingly 'organic' technique is also apparent in the E minor Nocturne, by far the most sophisticated work composed by Chopin during the Warsaw period and also the most prophetic of the mature style, which would be fully established in Vienna and Paris during the early 1830s.

TABLE 2a
EARLY COMPOSITIONS BASED ON MODEL 1

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
A-flat major Polonaise	1821	6	structural parallelisms between ABA and CDC based on Model 1; sections linked by 6th-progression
Rondo Op. 73	1828	19	structure elaborated by interpolation, not diminution; emphasis on principal harmonies orders 'chaotic' foreground; structural (not 'formal') conception in evidence; 'final' cadence highlighted
<i>Krakowiak-Rondo</i> Op. 14	1828	20	variation of model; $\hat{s}-\hat{2}$ $\hat{s}-\hat{i}$ descent with subsidiary neighbour-note motion in 2nd part; harmonic and motivic references join thematic sections
E minor Nocturne	1828-30	32	'organic' unity between structural levels; phrase structure important, also appoggiatura motives; 'new approach' to melody and ornamentation

TABLE 2b
EARLY COMPOSITIONS BASED ON MODEL 2

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
G minor Polonaise	1817	4	succession of independent sections joined by prolongation of b-flat; arpeggiation of 'head notes'; freer division form in Trio
G-sharp minor Polonaise	1824	7	extensive 'improvisatory' embellishment of simple melodic and harmonic structures
Rondo Op, 1	1825	9	unorthodox 'improvisatory' model; structure based on major thirds and 'neighbour-harmonies'; 'improvisatory' figuration; sequences connect structural 'pillars'
B-flat minor Polonaise ('Adieu')	1826	--	third-based harmonic parallelisms 'organically' link structural levels
B-flat major Polonaise Op, 71, No. 2	1828	16	subsidiary Model 1 in ABA; ♭2 embellished in Trio; extensive 'improvisatory' elaboration of disguised 'V-♭/♭-V' progression in Trio; CDC & ABA linked by 6th-prg. motivic parallelism; introduction linked to main body of Polonaise
F minor Polonaise Op, 71, No. 3	1828	17	subsidiary (varied) Model 1 in ABA; ABA & CDC joined by octave descent; parallelisms in introduction
G-flat major Polonaise	1829	22	embedded interpolations and octave ascent in introduction (cf. Op. 13), showing assimilation of features from large 'brilliant' works into smaller genres; descents link ABA and CDC
B minor Waltz Op, 69, No. 2	1829	26	mazurka-derived harmonic progressions; mixture under prolonged head note in Trio
E minor Waltz	1830	27	chromatically embellished freer division form in B; mixture under prolonged head note in Trio; 'final' cadence emphasised in extended, varied reprise; influence of virtuoso style apparent
F major Mazurka Op, 68, No. 3	c1830	29a	Lydian fourth inspires important motivic parallelism, i.e., ♭2-♭2 motion
B-flat major Mazurka Op, 7, No. 1	1829-30	31	underlying structure disguised by characteristics of folk mazurka; registral and rhythmic displacements; freer division form used in A; 8ve descent joins A & B; 12-bar phrase affects tonal structure
A minor Mazurka Op, 7, No. 2	1830-1	30c	e-f-e motive; Lydian fourth causes temporary 'diatonic confusion' via chromatic descent; ♭2; mixture under prolonged head note (cf. structure of '1st version')

TABLE 2c
EARLY COMPOSITIONS BASED ON 'NEIGHBOUR-NOTE' MODELS

MODEL NN₁

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
<i>Rondo à la Mazur</i> Op. 5	1826-7	10	thematic sections linked by structure incorporated from contemporary mazurkas, showing assimilation of dance-derived 'improvisatory' model into 'brilliant' piece; transitions given structural functions, e.g., preparation for new 'head notes'; ascents and descents with sequential interpolations; 'final' cadence highlighted
D major Mazurka	1829	13	'improvised' mazurka; tonic withheld initially; chromatic descent has improvisatory origins, indicating assimilation of 'brilliant' idiom into dance music

MODEL NN₂

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
G major Mazurka	1825-6	11	'improvised' mazurka, with solid tonal structure; III ³ has structural function in section B
<i>Polonaise Brillante</i> Op. 3	1829	--	assimilation of structural features from mazurkas and waltzes into virtuosic works apparent here; varied recapitulation; 'final' cadence highlighted
A-flat major Waltz	1829	23	subsidiary Model 1 in A; structural \hat{i} = cover tone in Trio
E major Waltz	1829	24	motives announced in introduction; symmetrical form; subsidiary Model 1 in A; structural \hat{i} = cover tone in Trio; fundamental line's neighbour-note motion acts as parallelism
D-flat major Waltz Op. 70, No. 3	1829	25	unusual form; AB CDC AB; subsidiary Model 1s in AB and CDC; structural \hat{i} = cover tone in Trio; structural ascent in Trio; fundamental line's neighbour-note motion acts as parallelism
C major Mazurka Op. 68, No. 1	c1830	28	subsidiary Model 1s in ABA & CDC; structural \hat{i} = cover tone in Trio (cf. contemporary waltzes); emphasis on 2nd scale degree (cf. B-flat & D major Mazurkas); ornamentation has structural significance
F major Mazurka Op. 68, No. 3	c1830	29b	Lydian fourth inspires important motivic parallelism; subsidiary Model 1 in A

TABLE 2c
EARLY COMPOSITIONS BASED ON 'NEIGHBOUR-NOTE' MODELS
(continued)

MODEL NN₃

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
A minor Mazurka Op. 68, No. 2	c1827	14	structural parallelisms link sections; Lydian fourth influences structural voice-leading
D minor Polonaise Op. 71, No. 1	1827-8	15	subsidiary Model 1 in ABA; elaborate pro- longation of III* ³ in Trio as part of extended I-III* ³ progression; phrase & tonal structures closely related

TABLE 2d
EARLY COMPOSITIONS NOT BASED ON MODELS

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
B-flat major Polonaise	1817	5	succession of discrete 'fundamental structures' linked by voice-leading
<i>Der Schweizerbub</i> Variations	1824	8	direct response to 'public' improvisation tradition; improvisatory models apparent in introduction, e.g., sequences
B-flat major Mazurka	1825-6	12	unique structure with embedded descents; overall 6th-prg. in bg links sections
<i>Là ci darem</i> Variations Op. 2	1827-8	18	solid structures in 'free material'; 'improvisatory' introduction, with sequential interpolations embellishing structural descent leading to cadenza; harmonic motives link intro. & variations; harmonic 'pillars' in finale joined by complex interpolations
<i>Fantasy on Polish Airs</i> Op. 13	1829	21	'string of variations'; long 'improvisatory' introduction based on octave ascent (with elaboration of penultimate pitch); motives announced in introduction; several embedded interpolations; 'final' cadence highlighted

TABLE 2d
EARLY COMPOSITIONS NOT BASED ON MODELS

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
B-flat major Polonaise	1817	5	succession of discrete 'fundamental structures' linked by voice-leading
<i>Der Schweizerbub</i> Variations	1824	8	direct response to 'public' improvisation tradition; improvisatory models apparent in introduction, e.g., sequences
B-flat major Mazurka	1825-6	12	unique structure with embedded descents; overall 6th-prg, in bg links sections
<i>Là ci darem</i> Variations Op. 2	1827-8	18	solid structures in 'free material'; 'improvisatory' introduction, with sequential interpolations embellishing structural descent leading to cadenza; harmonic motives link intro. & variations; harmonic 'pillars' in finale joined by complex interpolations
<i>Fantasy on Polish Airs</i> Op. 13	1829	21	'string of variations'; long 'improvisatory' introduction based on octave ascent (with elaboration of penultimate pitch); motives announced in introduction; several embedded interpolations; 'final' cadence highlighted

TABLE 3
STRUCTURAL MODELS IN EARLY COMPOSITIONS, ACCORDING TO GENRE

POLONAISES
(cf. *Stile Brillante*)

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
G minor Polonaise	2	1817	4
B-flat major Polonaise	None	1817	5
A-flat major Polonaise	1	1821	6
G-sharp minor Polonaise	2	1824	7
B-flat minor Polonaise ('Adieu')	2	1826	--
D minor Polonaise Op. 71, No. 1	NN ₃	1827-8	15
B-flat major Polonaise Op. 71, No. 2	2	1828	16
F minor Polonaise Op. 71, No. 3	2	1828	17
<i>Polonaise Brillante</i> Op. 3	NN ₂	1829	--
G-flat major Polonaise	2	1829	22

MAZURKAS

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
G major Mazurka	NN ₂	1825-6	11
B-flat major Mazurka	None	1825-6	12
A minor Mazurka Op. 68, No. 2	NN ₃	c1827	14
D major Mazurka	NN ₁	1829	13
B-flat major Mazurka Op. 7, No. 1	2	1829-30	31
C major Mazurka Op. 68, No. 1	NN ₂	c1830	28
F major Mazurka Op. 68, No. 3	2, NN ₂	c1830	29a, b
A minor Mazurka Op. 7, No. 2	2	1830-1	30c

WALTZES

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
A-flat major Waltz	NN ₂	1829	23
E major Waltz	NN ₂	1829	24
D-flat major Waltz Op. 70, No. 3	NN ₂	1829	25
B minor Waltz Op. 69, No. 2	2	1829	26
E minor Waltz	2	1830	27

TABLE 3
STRUCTURAL MODELS IN EARLY COMPOSITIONS, ACCORDING TO GENRE

POLOMAISES
(cf. *Stile Brillante*)

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
G minor Polonaise	2	1817	4
B-flat major Polonaise	None	1817	5
A-flat major Polonaise	1	1821	6
G-sharp minor Polonaise	2	1824	7
B-flat minor Polonaise ('Adieu')	2	1826	--
D minor Polonaise Op. 71, No. 1	NN ₃	1827-8	15
B-flat major Polonaise Op. 71, No. 2	2	1828	16
F minor Polonaise Op. 71, No. 3	2	1828	17
<i>Polonaise Brillante</i> Op. 3	NN ₂	1829	--
G-flat major Polonaise	2	1829	22

MAZURKAS

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
G major Mazurka	NN ₂	1825-6	11
B-flat major Mazurka	None	1825-6	12
A minor Mazurka Op. 68, No. 2	NN ₃	c1827	14
D major Mazurka	NN ₁	1829	13
B-flat major Mazurka Op. 7, No. 1	2	1829-30	31
C major Mazurka Op. 68, No. 1	NN ₂	c1830	28
F major Mazurka Op. 68, No. 3	2, NN ₂	c1830	29a, b
A minor Mazurka Op. 7, No. 2	2	1830-1	30c

WALTZES

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
A-flat major Waltz	NN ₂	1829	23
E major Waltz	NN ₂	1829	24
D-flat major Waltz Op. 70, No. 3	NN ₂	1829	25
B minor Waltz Op. 69, No. 2	2	1829	26
E minor Waltz	2	1830	27

TABLE 3
STRUCTURAL MODELS IN EARLY COMPOSITIONS, ACCORDING TO GENRE
(continued)

STILE BRILLANTE
(cf. Polonaises)

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
<i>Der Schweizerbub</i> Variations	None	1824	8
Rondo Op. 1	2	1825	9
<i>Rondo à la Mazur</i> Op. 5	NN ₁	1826-7	10
<i>Là ci darem</i> Variations Op. 2	None	1827-8	18
Rondo Op. 73	1	1828	19
<i>Krakowiak-Rondo</i> Op. 14	1	1828	20
<i>Fantasy on Polish Airs</i> Op. 13	None	1829	21
<i>Polonaise Brillante</i> Op. 3	NN ₂	1829	--

NOCTURNES

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
E minor Nocturne	1	1828-30	32

NOTES TO PART II, CHAPTER 1

¹ See Belotti 1972 and Jachimecki 1927 for discussion of these polonaises.

² Lissa 1973 studies the precursors to Chopin's polonaises and mazurkas.

³ Even its simple i-III-i progression differentiates Chopin's first polonaise from those of his predecessors: Ogiński's for instance tend to remain in the tonic, or to move only to the parallel major or minor and then back to the tonic, thus creating only a minimal amount of 'structural momentum'.

⁴ See §§99, 213, 217 and 243, and Figs. 48' and 154³ in *Der freie Satz*.

Note that in Fig. 48' (not to mention numerous other analyses - e.g., Fig. 26), Schenker omits the repetition of the first section at the middle-ground level, in keeping with his comments in §302 ('The fundamental structure and the first level know no repeat sign. Therefore, a repeat sign in the foreground must not lead us to misjudge the form.') and in §307 ('Repetitions indicated by :||, or those written out in full, constitute neither an interruption of the fundamental line nor, consequently, a division of the form [§33].').

This interpretation of large-scale repetition is not altogether convincing: for instance, in the A minor Waltz Op. 34, No. 2, the expressive effect of the written-out repeat of sections B, C and D penetrates even to remote structural levels.

For further discussion of large-scale repetition see Dunsby 1987.

⁵ Tonal redefinitions abound in Chopin's music. Often he ensures tonal coherence by subtle references to a structurally important harmony which assumes different contextual functions. This occurs in early pieces such as the *Krakowiak-Rondo* Op. 14 as well as in much later and more sophisticated works like the *Barcarolle* Op. 60 and *Polonaise-Fantasy* Op. 61, where contextual reinterpretations create 'rational deceptions'.

⁶ This form of the harmony, also found in the G minor Polonaise, appears in numerous polonaises by Ogiński.

⁷ Embellishment of the structural $\hat{2}$ with a subsidiary third-progression such as this is one of the more consistent features of Chopin's 'structural style'. See for instance section A of the G-sharp minor Polonaise and the Trio of Op. 71, No. 2.

⁸ The middleground sixth from e-flat² to c³ in bars 1-3 reflects the descent through a sixth joining ABA and CDC.

⁹ This motivic reference foreshadows much of Chopin's later music: in many works, the most important motives or harmonies are announced in the introduction. (See note 40 below.)

¹⁰ See Samson 1985: 31 (cf. Part I, note 116).

¹¹ This claim, which Szulc (1873: 29) attributes to Oskar Kolberg, is questionable in view of the finished quality of the manuscript. See Kobylańska 1977: i, 373.

¹² Abraham writes: 'The variation form ... offered Chopin an easy way of escape from a problem that he never satisfactorily solved in these early days, and only sometimes and with difficulty in later years...: that of large-scale musical architecture.' (1939: 12).

¹³ Progressions like this occur with great frequency in Chopin's music and are of considerable importance in the evolution of his 'structural style'.

In §56 of *Der freie Satz*, Schenker explains that doubly curved slurs like the one here indicate a 'contrapuntal-melodic step of a second' (1979: 30; 1956: 63), e.g., I-ii[♯] or I-IV[♯]. Strictly speaking, double slurs therefore do not apply to progressions in thirds like I-iii-V, although in Figs. 110^c and 110^d Schenker himself puts the double slurs to this very use. I have likewise adapted the symbol to show arpeggiation through the mediant to the dominant. (See Oster's discussion of these progressions in Schenker 1979: 139-40.)

¹⁴ Another marking of interest is the *Semplice, senza ornamenti* at the beginning of the theme, which, as Samson notes (1985: 37), 'speaks volumes about contemporary performance practice'. This also appears in bar 103 of the Rondo Op. 73 (four-hand version). See Eigeldinger 1986: 122, note 103.

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Aus den einzelnen Figurationsabschnitten des Rondos können wir schließen, wie die Improvisationen des jungen Fryderyk ausgesehen haben, die er des öfteren vorführte und mit denen er zu großen Erfolgen kam. Chopin hatte schon damals eine Gruppe klavieristischer Griffe erarbeitet, das heißt melodischer und figuraler Strukturen, die er in verschiedenen Versionen wiederholte, weil ein Improvisieren ohne den Vorrat von fertigen Formeln nicht möglich gewesen wäre. (Chomiński 1980: 42)

¹⁶ 1939: 15.

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Die harmonischen Verbindungen zwischen den Themen verraten auf jeden Fall eine spätere Arbeit. (1980: 42)

¹⁸ This use of 'tonal recall' foreshadows many of Chopin's later works - e.g., the *Polonaise-Fantasy* Op. 61 - in which harmonic connections like these are an important source of unity.

See §255 in *Der freie Satz* regarding 'preparation'.

¹⁹ 1985: 34-5.

²⁰ See Kobylańska 1977: i, 357-60 and 480-1. The Paderewski edition also traces the history of the three mazurkas (*Complete Works*: x, 215-17).

Primary sources for these pieces do not exist. Copies of the G major and B-flat major survive but they are by an unknown copyist and are of doubtful authenticity. There are no extant sources for the D major.

²¹ Cf. Part I, note 116.

²² Samson (1985: 35) makes this point with reference to the G major and B-flat major Mazurkas, but it applies equally to the D major, which also exists in two versions, the second of the two (thought to be from 1832) substantially different from the first. The Paderewski edition suggests that this so-called 'first version' (dated 1828-30 in the Breitkopf und Härtel collected edition, but almost certainly composed earlier) is inauthentic:

It contains - at least in the form in which it has been handed down to us - details and even fairly long passages which are scarcely characteristic of Chopin and which may arouse doubts as to the authenticity of the work. The fact that it was included in the collected Warsaw [i.e., Gebethner & Wolff] and Leipzig [i.e., Breitkopf] editions, however, leads us to assume that the editors based their texts on reliable and adequate sources. (*Complete Works*: x, 217)

The analysis here is based on the Henle edition, but the differences in form and detail between Henle and Paderewski should be noted. Although Henle, Brown and Samson give 1829 as the date of the 'first version' of the D major Mazurka (possibly on the basis of the Breitkopf date), I have treated it here with the G major and B-flat major, which were improvised at the same time as the D major but published earlier, in 1826.

²³ A brief outline of the various mazurka types appears in Eigeldinger 1986: 145-6, note 169.

²⁴ Schenker describes this type of repetition as 'the freest form of interruption', in which 'the setting again takes up its initial position' (1979: 77; 1956: 124 - cf. Fig. 91).

²⁵ These include the four analysed in this section as well as Op. 68, Nos. 1 and 3; Op. 7, No. 1; and the first version of Op. 7, No. 2.

Although dated 1824 by Wilhelm Kolberg, the so-called 'first version' of Op. 7, No. 4 undoubtedly comes from much later: moreover, it is probably the *second* and more complete version of the work. See Nowik 1971 and Kallberg 1988b: 10-11.

The early D major Mazurka (dated '1820(?)' in Brown 1960 and based on a I-V-I-IV-I harmonic progression) is most likely inauthentic. A photograph of the mazurka as first published - in the *Kurier Warszawski*, 20 February 1910 - appears in Kobylańska 1955: 40.

During his 1829 visit to Prague, Chopin composed a short mazurka melody (in G major, without accompaniment) to set to a four-stanza poem written by his travel companion Ignacy Maciejowski in the album belonging to Vaclav Hanka, curator of the National Museum in Prague. First reproduced in Otokar Hostinský, 'Chopin v Praze v roku 1829', *Dalibor*, 1/6 (1879): 46-7, the melody closely resembles the folk mazurkas in Oskar Kolberg's collections. See Chopin's letter to his family dated 26 August 1829.

²⁶ See *Complete Works*: x, 217.

²⁷ 1980: 42. (Cf. note 15; also Part I, note 106.)

²⁸ Chopin dispenses with the more radical features of this 'first version' in the 1832 version. He firmly establishes the tonic and primary melod-

ic tone at the start by means of a four-bar introduction (notable for the chromatic descent in the bass from d to A, bars 1-5), throughout the work maintaining a closer relation to the tonic harmony than in the 'first version'. (For instance, in section B, the secondary dominant is only briefly tonicised, whereas in the earlier version the extended prolongation of \sqrt{v} in bars 13-18 further distances I.) In the Trio, Chopin reflects the chromatic descent from the 'first version' in a less remarkable ascent, bringing the Trio to a full close in IV from which the reprise of A follows immediately. The revised Mazurka therefore lacks both the 'improvisatory' transition and the structural emphasis on V that characterise the earlier version; as a result it conforms more closely to Model NN.

²⁹ See Salzer 1962: i, 160 and Example 315 regarding the I-iii-V progression in the Trio and bar 37's 'chord of harmonic emphasis' (i.e., ii).

³⁰ 1985: 41.

³¹ Throughout the work Chopin stresses the gap between e^2 and c^2 , as the foreground and middleground graphs suggest.

³² 1985: 33.

³³ Controversy still reigns as to when the three were composed. Jeffrey Kallberg has told me that the D minor (in the hand of Chopin's father, Nicholas) most likely dates not from 1824-5 as widely thought but from 1827-8, when Chopin composed the *Là ci darem* Variations Op. 2. These were written on the same paper as the Polonaise, thus suggesting 1827-8 as the D minor's date of composition. Furthermore, Kallberg has determined that the manuscripts of the B-flat major and F minor Polonaises are on Polish paper also used for Op. 10, Nos. 1 and 2, pointing to a later date (1828?) for the F minor than that given in most studies. I am grateful to Kallberg for providing this information.

³⁴ 1985: 40.

³⁵ 1966: 95. In contrast, he credits the B-flat major with 'more melodious [passagework] than that of other early works' and 'neatly contrived changes of harmony and texture' in the Trio.

³⁶ Abraham (1939: 19-20) writes that such passages in Chopin's music lead to 'a temporary suspension of the principle of tonality. Atonality, at any rate as a passing phenomenon, has become a fact'.

³⁷ In later works such as the *Polonaise-Fantasy* Op. 61, Chopin similarly relies on harmonic references like these to ensure tonal coherence and to overcome the intentional appearance of harmonic disorder.

³⁸ The dynamics also reflect this background-level relationship: the VI*³ harmony in bar 68 is marked *forte*, and the III*³ in bar 70 *fortissimo*.

³⁹ Note the embellishment of ($\hat{2}$) here. (See note 7 above.)

⁴⁰ This use of introductions - a significant feature of Chopin's 'structural style' - could well derive from the practice of preluding, where, in an improvised introduction, a performer would highlight the principal motives,

harmonies and rhythms of the work. In his treatise on improvisation, Czerny writes:

When the performer has to play a solo piece for which the composer himself has written no introduction..., then it is not inappropriate if the improvised prelude is proportionately longer and more elaborate, and if materials from the following theme are included, whereupon the aggregate amounts to a suitable introduction. (1983: 17)

When improvising fantasies, it was essential for the performer to use the introduction to highlight distinctive motives and harmonies from the main theme(s), in order to ensure the coherence of the improvisation that followed.

Abraham (1939: 47) unfairly dismisses Chopin's introductions: whereas his codas 'not infrequently have a structural function ... his introductions are seldom important structurally; they serve only to attract attention, or in his later works, more subtly, to place a harmonic curtain before the tonic key and so heighten the effect of its first appearance'. This overlooks the significance of the introduction in late works such as the *Polonaise-Fantasy* Op. 61 and the *Barcarolle* Op. 60, as well as early ones (e.g., Op. 68, No. 1 and Op. 71, Nos. 1 and 2).

⁴¹ 1966: 96.

⁴² Schenker analyses the *Polonaise* in 1922b: 25 and in *Der freie Satz* (§228 and Figure 98²).

⁴³ 1985: 43.

⁴⁴ See Castil-Blaze's description of a 'typical ornamental variation set', as cited in Samson 1985: 48.

⁴⁵ Samson comments (1985: 48) that 'the flow of ideas and the infectious, sparkling passage-work in the introduction of Op. 2 has something of the character of a composed-out improvisation, an extempore prelude to the main business of the piece, the theme and its variations'.

⁴⁶ Abraham's 'coruscating shower of chromatic particles' (1939: 18) in bars 97-100 of the finale is also an interpolation (grounded by the orchestra's pedal on F), from $I^6/4$ on the first beat of bar 97 to V^7 on the first beat of 100. (See **Example 18d**.)

⁴⁷ 1985: 35-6.

⁴⁸ C.P.E. Bach is one of many eighteenth-century authors to stress the importance of the diminished seventh in improvisatory modulations:

As a means of reaching the most distant keys more quickly and with agreeable suddenness no chord is more convenient and fruitful than the seventh chord with a diminished seventh and fifth, for by inverting it and changing it enharmonically, a great many chordal transformations can be attained. (1949: 438)

Various nineteenth-century treatises on improvisation also emphasise the diminished seventh's usefulness in modulation.

⁴⁹ 1939: 15-16.

⁵⁰ 1985: 50.

⁵¹ This is the first time a structural ascent appears in Chopin's music (apart from the second transition in the Rondo Op. 5, where the underlying linear motion has a far more limited role than the one here).

⁵² The presence of two 'primary melodic tones' and the ascent via a sharpened fourth joining them recall the introduction to Op. 2, where the first and second 'head notes' - (â) and (ê) - are similarly linked.

Samson points out (1985: 50) that in general the Fantasy 'has a good deal in common' with the Op. 2 Variations.

⁵³ Samson 1985: 41.

⁵⁴ Letter to Titus Woyciechowski, dated 14 November 1829. Translation from Chopin 1962: 37.

⁵⁵ In this regard the waltzes and mazurkas are successors to Chopin's early polonaises, where the combination of structural models and the genre's lavish ornamentation taught him the art of 'improvisatory' embellishment.

⁵⁶ Samson comments: 'Much of the originality [of Chopin's mazurkas] stems of course from just this use of folkloristic materials as transforming agents.' (1985: 110).

⁵⁷ Abraham however completely dismisses them: 'Neither the three Valses (Op. 69, No. 2, Op. 70, No. 3, and the posthumous E minor) nor the single Nocturne (Op. 72, No. 1) of this period possess any interest beyond that attaching to early essays in forms in which Chopin was later to create masterpieces.' (1939: 27). This judgment is particularly unfair in the case of the E minor Nocturne, which is one of Chopin's most important early works.

⁵⁸ 1985: 41.

⁵⁹ The Paderewski edition states that the *Fine o da Capo il Valso* at the close of the Trio (as printed in the Henle edition) is not Chopin's. If the *Fine* were observed, the Waltz would end in IV with the fundamental line suspended on the neighbour-note â.

⁶⁰ Samson writes that the B minor Waltz 'leans towards the gentle expressive lilt of a kujawiak' (1985: 121). If indeed Chopin had the kujawiak in mind when writing the Waltz, then it is not surprising to find this i-III-V harmonic motion.

In another kujawiak-inspired valse triste - Op. 34, No. 2 - Chopin uses a i-III-V progression to link sections B and C, extending it later in the Waltz in a highly expressive passage.

⁶¹ The E-flat major Waltz KK 1212 - first published in 1902 by Breitkopf und Härtel - is of doubtful authenticity.

⁶² Referring to the sequences in B, Hamburger remarks: 'The harmonic identity of these passages is not at all obvious to the listener.' (1966: 89).

⁶³ See Schenker's discussion of the 'Lydian fourth' in Op. 24, No. 2 (1987: i, 57-8; 1910b: 83-4).

⁶⁴ See note 36.

⁶⁵ These are discussed in Kallberg 1988b: 9-10.

⁶⁶ A different graph of the descending sequence appears in Salzer 1962: Example 361. See Eigeldinger 1986: 148-9, note 173 and Kallberg 1988b: 21-2 regarding the ornamental variants that Chopin marked in the copies of Camille Dubois and Jane Stirling at this passage.

⁶⁷ Kallberg 1988b: 8-9 discusses the formal ambiguities in the sources for Op. 7, No. 1.

⁶⁸ For instance, the neighbour-note motions in 26, 28, 30 and 32.

These 'subtle reminders' recall the grace notes, changing-note figures and échappées in Op. 68, No. 1, which similarly keep the 'head note' in the listener's ear.

⁶⁹ See §287 of *Der freie Satz* regarding twelve-bar phrases, in particular those in Op. 24, No. 3.

⁷⁰ See Part II - Introduction, note 6.

⁷¹ Samson refers to the 'new approach to melody and ornamentation' in the Nocturne:

The successive ornamental variations of the opening idea are less concerned to dress it with fancy frills than to enhance and intensify its expressive qualities and to reveal it in constantly changing lights. The ornamentation becomes in short integral to the melody. (1985: 41)

CHAPTER 2

MAZURKAS, *STILE BRILLANTE* AND 'VALSES BRILLANTES',

NOCTURNES AND STUDIES: 1830-2

A. Introduction

Chopin's departure from Warsaw in November 1830 had a profound effect on the evolution of his 'structural style': the music written from late 1830 onwards tends to be far more sophisticated than earlier works, and much closer to his mature style. Prolonged separation from Poland and from his family at a time of great political upheaval no doubt caused some of the changes in the compositions of this period: as Jim Samson notes, 'it seems possible that the added depth and richness of the works whose inception dates from his year in Vienna, together with their tragic, passionate tone, reflect at least in part a new commitment to express Poland's tragedy in his music'.¹ Other factors included Chopin's exposure to more cosmopolitan musical influences in Vienna, his frustrating lack of success as a performer there (which hastened his disillusionment with the career of virtuoso pianist, and therefore with music written in the *stile brillante*), and the greater amount of time devoted to composing, given his virtual inactivity as a performer.

While in Vienna Chopin wrote most of the works analysed in this chapter, including all but two of the mazurkas published as Op. 6 and Op. 7, many of the Op. 10 Studies, the *Grande Polonaise Brillante* (published in 1836 with the *Andante Spianato* as Op. 22),² and possibly the E-flat major Waltz Op. 18.³ The Op. 9 Nocturnes and Op. 15, Nos. 1 and 2 were also composed, at

least in part, during his stay in Vienna, although it was only after he arrived in Paris in September 1831 that he completed them, along with the Rondo Op. 16, the remaining studies in Op. 10, and the A minor Waltz (published in 1838 as Op. 34, No. 2).⁴

Perhaps the most important change brought about by Chopin's ten months in Vienna was a new sensitivity to the 'structural momentum' of his music, which he learnt to maximise by using more 'dynamic' harmonic progressions at the background level of a work. Whereas earlier compositions tend to have closed, symmetrical harmonic structures (e.g., i-III-i, I-vi-I, I-V-I, i-I-i and I-IV-I) which lack a strong sense of goal-directed motion and which therefore endow the music with only limited forward impulse, most of the repertoire from the later period is based on large-scale cadential progressions in the background, such as $i-III-V-i$, $I-III^{*3}-V-I$ or $I-iii-V-I$; $I-IV-V-I$, $i-iv-V-i$ or $i-IV^{*3}-V-i$; and $i-II^b-V-i$ or $i-ii^7-V-i$.⁵ In each of these, the tonic is followed by a subsidiary harmony - mediant, subdominant or supertonic - which resolves, often after extensive elaboration and prolongation, to the first of two harmonic goals, V. The tonic is restored thereafter, usually at the start of the recapitulation. These more comprehensive progressions unite the sections of a work into a single gesture directed towards long-range resolution from V to I, creating an underlying momentum largely absent from the earlier music. It is fascinating to observe the gradual appearance of these progressions and Chopin's increasing exploitation of structural momentum in repertoire written after 1830: for instance, in Op. 7, No. 3; the middle section of Op. 22; Op. 34, No. 2; Op. 9, Nos. 2 and 3 and Op. 15, No. 2; and, above all, the Op. 10 Studies, where the arrival on V after the subsidiary harmony often results in a monumental climax. By the end of the Vienna and early Paris periods, 'dynamic' progressions like these

had become a well-established feature of Chopin's 'structural style': fully mature works such as the *Barcarolle* Op. 60 and the *Polonaise-Fantasy* Op. 61 are based on similar harmonic structures at the background level.

Greater structural momentum in the music of the early 1830s also results from a new approach to recapitulation and closure, which was foreshadowed in five 'brilliant' works from the earlier period: Op. 5, Op. 73, Op. 13, Op. 3 and the E minor Waltz. In these pieces (as noted in Chapter 1), Chopin transcends structural weaknesses inherent in other early compositions, where literal recapitulation means that the fundamental line is stated several times. By extending and elaborating the 'final' cadence (that is, the cadence before the start of the coda) in each of the five works, Chopin emphasises the structural descent, differentiating it from earlier statements of the same linear progression and thus generating momentum towards closure.

Assimilation of this feature from the *stile brillante* into Chopin's mature 'structural style' can be seen in the nocturnes and studies of the Vienna and early Paris period, and to a lesser extent in Op. 18 and several mazurkas from Op. 6 and Op. 7. By avoiding exact recapitulation in this music, Chopin achieves greater variety and interest than in earlier pieces based on a strict *da capo* form. His subtle use of phrase structure to highlight the underlying tonal foundation of a work is particularly noteworthy. In these more sophisticated compositions (especially the nocturnes and studies), he deviates from four-bar and eight-bar phrase patterns in use throughout a piece precisely at the most important point in the tonal structure: at the descent of the fundamental line. Such 'agogic' deviations in phrase structure, which usually involve an extension of the four- or eight-bar 'hypermeasure',⁶ come to have tremendous expressive power in the music of this period, as they temporarily withhold closure in the recapitulated mate-

rial and therefore undermine expectations formed during the first section of the work, where closure is normally achieved within a 'regular' phrase structure. The stress given to the fundamental line by these extensions is made all the more prominent when Chopin also abbreviates the reprise, as in most of the Op. 10 Studies and some of the nocturnes, where the third section of the ABA' form typical of these works is considerably shorter than its counterpart earlier in the piece, even with the extension of the concluding phrase.⁷

Another procedure commonly used to prolong a work's 'final' cadence and highlight the fundamental line's descent is the embellishment of the structural $\hat{2}$ by means of a subsidiary third-progression (which, as shown in Chapter 1, is also important in several earlier pieces,⁸ chief among them the E minor Nocturne). In some works, this decoration of $\hat{2}$ extends over many bars, harmonised by a V-vi- \vee ⁶- \vee ⁵/ \vee -V progression (or variation thereof) which outlines a changing-note figure in the bass, further postponing closure by means of the implied interrupted cadence. In other compositions, closure is temporarily withheld by delaying the structural $\hat{2}$ or $\hat{1}$, or displacing the bass arpeggiation's dominant harmony from its 'correct' position.⁹

As these features suggest, tonal structures in the music of this period are often more complex than before. Works such as Op. 18 and Op. 34, No. 2; Op. 9, No. 1; and Op. 10, Nos. 2, 6, 9, 11 and 12 are based on chromatic structural descents which alter the three voice-leading models established in earlier music.¹⁰ Chopin's awareness of underlying structure is more evident in this repertoire, especially in some of the nocturnes and studies, where 'motivic' development of the fundamental structure enhances unity (for instance, in Op. 10, No. 4). Manipulation of the pitches in the fundamental line lends to certain compositions their particular character, as in the

first of the Op. 10 Studies, where Chopin exploits an opposition between the melodic turning figure in A and A', which circles around the primary melodic tone, $\hat{3}$, and the chromatic and diatonic descent in section B, which temporarily 'escapes' from the closed turning motive. The insistent focus on $\hat{3}$ is overcome once and for all only at the end of A', when the fundamental line descends - with added chromatic passing notes in a last reference to B - from the head note through $\hat{2}$ (which is embellished by the subsidiary third-progression referred to above) to $\hat{1}$. Chopin's motivic use of the fundamental line creates tremendous structural momentum, as linear resolution is continually sought but not fully achieved until the last bars.

Section B's descent is but one of the many extended linear progressions found at a structural level in the works of this period, particularly in the middle sections of the studies and nocturnes, which almost invariably are more complex than the outer wings of the standard ABA' form. In some compositions, linear progressions function as motivic parallelisms (as in the central section of Op. 22, where an arch-shaped structure recalls the melody of A and A'); in other pieces, ascents and descents generate momentum by connecting the primary melodic tone and a cover tone or by attaining a registral peak alluded to earlier in the work but temporarily withheld. These linear structures testify to Chopin's more highly developed 'improvisatory long-range vision' at this advanced stage of his stylistic evolution.

Chopin bases much of the music from this period on the three voice-leading models found in earlier works, although occasionally he alters a model to invest the music with greater structural momentum. For instance, although the $\hat{3}-\hat{2}-\hat{3}$ neighbour-note motion from Model NN₂ appears in the fundamental line of Op. 10, No. 8, its accompaniment is not the standard I-IV-I progression but a 'dynamic' I-III*³-V-I motion. Similarly, in Op. 10, Nos. 6

and 9, the I-IV-I structure typical of Model NN, is replaced by other progressions ($i-\text{III}^{\flat}-V-i$ and $i-[\text{III}^{\flat}]^{\flat}-V-i$ respectively), although the $\hat{s}-\hat{s}-\hat{s}$ motion in the fundamental line remains as in the model. In a few works, Model 1's interruption form is extended into more comprehensive structural spans, such as the $\hat{s}-\hat{s} || \hat{s}-\hat{t}$ fundamental line used in Op. 18; Op. 10, No. 12's $\hat{s}-\hat{s} || \hat{s}-\hat{t}$ structure;¹¹ and the 'freer division form' in Op. 34, No. 2 (i.e., $\hat{s}-\hat{s} || \hat{s}-\hat{t}$).

Chopin also extends harmonic progressions within individual passages. Whereas in earlier works (e.g., the *Schweizerbub* Variations; Op. 68, No. 2; the 'Adieu' Polonaise; Op. 71, Nos. 1 and 3; Op. 13; and Op. 69, No. 2) progressions such as $I-\text{III}-V$, $i-\text{III}-V$, and $I-\text{III}^{\flat}-V$ tend to be only a few bars long and thus of fairly limited structural significance, in later repertoire they lie at the foundation of much lengthier passages or (as noted before) even entire sections. The mediant harmony continues to have special importance in this music: for instance, in the middle sections of Op. 10, Nos. 1 and 8, Chopin interprets it (with sharpened third) as both $\text{III}^{\sharp 3}$ and V/VI . The ambiguity between these differing harmonic functions and the conflict caused by the opposite directions in which it could resolve greatly enhance structural momentum.

As in the early music, subsidiary progressions and interpolations appear within structures such as those described above, although now Chopin more closely relates embellishment to structure, even in extremely complex passages (like the highly chromatic middle section of Op. 10, No. 3, or bars 4-9 of Op. 15, No. 1, where a middleground circle-of-fifths sequence - itself prolonged in the foreground by an octave descent in the bass from *f* to *F* - embellishes the underlying $I-\text{III}-V$ progression at the background level). Unlike the *stile brillante* compositions from the 1820s (most of which have

extensive sequential interpolations inserted between harmonic 'pillars', often with an unsatisfactory result), the works composed after 1830 tend to be more thoroughly integrated: *Auskomponierung* occurs as the result of diminution and 'organic' replication of structure rather than interpolation. No longer used primarily for the 'spinning-out' of virtuosic passagework, sequences often assume a structural role, as in Op. 18, where a circle-of-fifths progression extends over half of the piece, or Op. 22, in which the entire middle section is based on a symmetrical pair of sequences. The closer relation of structural levels means that sequential passages take on a different character, creating altogether new effects. Jim Samson notes for instance that in the middle section of Op. 10, No. 3,

The passage-work is still harmonically based, of course, often extending and elaborately decorating underlying dominant-quality harmonies, but ... we tend to perceive it as much in textural as in harmonic terms. Such passage-work still functions essentially as harmonic prolongation, but it aspires towards a status independent of harmony. Much more than in any earlier work we sense harmony dissolving into colour.¹²

The complexity of the composing-out (as seen in the passage from Op. 15, No. 1 referred to above) tends to mask the relative simplicity of underlying structure, particularly when Chopin deliberately disguises the structural foundations of a passage in the manner of C.P.E. Bach's *vernünftige Betrügerey*. He avails himself of numerous 'rational deceptions' in this music, such as elision (as in the chromatic descent in bars 5-9 of Op. 6, No. 1), enharmonic elaboration (for instance, in Op. 10, No. 9, where the structural progression in thirds seems remote by virtue of enharmonic alterations), and exploitation of harmonic ambiguities (as in the middle section of Op. 10, No. 2, where Chopin thwarts the background motion from i through IV^{♯3} to V by reinterpreting the subdominant harmony as \vee/\vee_{ii} and briefly tonicising vii). The use of colourful if unorthodox harmonic progressions

such as chains of parallel diminished or dominant sevenths as the foreground accompaniment to linear ascents and descents in the background also prevents structure from being too easily perceived.

Whereas in the early period Chopin's 'structural style' evolved somewhat irregularly, only a very small number of the compositions written in Vienna and Paris from 1830 to 1832 show signs of inconsistency in the development of his full stylistic maturity. The works that date from Chopin's arrival in Vienna are distinguished not only by the increasingly skilful handling of complex material, but also by the far more steady emergence of his individual musical language. By recasting the many disparate influences on his style - Italian opera, folk music and the *stile brillante*, to name but a few - into another, uniquely fashioned mould, Chopin succeeded at this time in finding his own compositional 'voice', as the discussion that follows will show.

B. The Mazurkas: Op. 6 and Op. 7, Nos. 3-5

The study in Chapter 1 revealed that features of the folk mazurka were subtly assimilated into the structure of Op. 68, Nos. 1 and 3, and Op. 7, Nos. 1 and 2. Chopin's use of 'folkloristic materials as transforming agents'¹³ grows even more profound in Op. 6 and Op. 7, Nos. 3-5, as the many structural neighbour-note motions and Lydian fourths suggest. Melodically the seven works tend to follow structural patterns established in earlier mazurkas: Chopin places cover tones above the head note in virtually all of them, often connecting the two pitches by stepwise motion above the primary melodic tone;¹⁴ furthermore, the second scale degree is prominent, as are recurrent motives such as the arpeggiation figure in Op. 7, Nos. 3 and 5 (which was also found in Op. 7, No. 1). In contrast, the juxtaposition of tonal 'relatives' in the harmonic progression typical of the genre - $i-III-V$ - occurs not as in earlier mazurkas but at more profound structural levels: much longer passages are connected by these progressions, particularly in Op. 7, No. 3. Variations within the voice-leading models can be observed, in part the result of the different forms Chopin now uses.¹⁵ Here we also see the first attempts in the genre to stress the final statement of the repeated A section and thus to enhance the sense of closure, primarily by means of added rests and fermatas, and by extending the concluding phrase (as in Op. 7, No. 3).¹⁶

The influence of folk music on the structure of the **F-sharp minor Mazurka Op. 6, No. 1** has been shown by Janusz Miketta,¹⁷ who demonstrates the similarity between bars 15-16 of the Mazurka and the 'cadential' figure in a Polish folk melody (No. 139 in Kolberg's collection *Pieśni ludu*) on which

Chopin might have based the piece. (See Example 33a.) A five-note descent like that in the folk song appears throughout Op. 6, No. 1 not only as a prominent motive and the 'fundamental line' within each of the three sections (see Examples 33b and 33c), but also as the harmonic and melodic basis of the chromatic descent in bars 5-9 *et seq.*, which is the work's most remarkable feature and an important link between melody and harmony. Described by Abraham as a chain of sevenths 'disguised by passing notes producing transition chords',¹⁸ the chromatic motion is characterised by Samson as

a semitonal descent in all voices, whose symmetry, based on 'notes equally related among themselves', suspends local tonal commitment and preserves the seventh chord as a norm of harmony.... It is above all the regular phrase structure which mitigates this and which strengthens the return to diatonic harmony at bar 9.¹⁹

Although at the foreground level the descent seems complex, Chopin ensures comprehensibility not only by virtue of the $i-III-V$ middleground progression but also through the implied resolutions from the dominant seventh harmonies on the second beats of bars 5-7 to their respective 'tonics'. As Example 33c shows, the passage follows a $ii^{4/3}-V^7-(I)$ sequential pattern descending as if through the following harmonies: V , IV^{*3} , III , $^bII^3$ and i . Of these, only the tonic is actually stated, once the melody returns in bar 9. Elision of the other harmonies masks the sequential progression from dominant to tonic on which the passage is based.²⁰

This transformation of the five-note melodic descent into an implied harmonic succession is but one of the subtle ways Chopin achieves unity in the piece. By using the five-note 'structural motive' in all three sections (arranged in what Abraham²¹ calls a 'primitive rondo or scherzo-with-second-trio' form - ABACA - linked by Model 2) and by exploiting other motives such as neighbour-note figures (particularly those embellishing c-sharp), Chopin draws together formally distinct passages. Unity is also enhanced by

reordering bar 5's melodic 'cell' (which launches the chromatic descent) into B's turning-figure; by using pedal points on V and i in sections B and C to balance the 'suspension of local tonal commitment' in A; and by restating the $i-III-V$ progression at the end of A, extended by several bars.

In the E-flat minor *Mazurka Op. 6, No. 4*, Chopin again closely relates melody and harmony, maintaining a four- or five-part contrapuntal texture virtually throughout the work.²² Composed in a simple ABA form, the *Mazurka* is based on voice-leading sufficiently complex to accommodate three tonal structures, each prolonging a different head note in various manifestations of Model 2 (see *Example 34*). Of the three, only the one in *Example 34a* states all the pitches in the fundamental line, although these are obscured by cover tones and countermelodies. Unlike the more comprehensive structures in 34b and 34c, the successive structural third-progressions in phrases a_1 and a_2 and in section B (with a chromatically embellished ($\hat{2}$)) lend to the work its episodic character.

The first of the alternative structures - in 34b - extends the descent from e-flat² to b-flat¹ in bars 1-2 into the ($\hat{a}-\hat{a} || \hat{a}-\hat{a}$) interruption form²³ on which A is based (given the transfer of the melody to the tenor at the end of phrase a_1). B's circle-of-fifths sequence harmonically reinterprets this linear fourth in a manner reminiscent of the chromatic passage in *Op. 6, No. 1*: here, descending from i through VII and VI to V, the progression avoids parallel octaves between the outer parts by virtue of the applied dominants. The structure in 34c lacks this connection between melody and harmony, although in other ways it resembles the interruption form in 34b.

Leichtentritt dismisses *Op. 6, No. 4* as 'short and simple in design', 'primitive', and a 'character-study',²⁴ but the work's contrapuntal texture and the three underlying structures reveal its essential complexity. Chopin

appears to have struggled with the voice-leading when composing the work: his sketch shows more than one attempt at the sequence in B and the counter-point in A.²⁵

The brevity of the E-flat minor Mazurka contrasts with the extended form found in Op. 6, No. 3, which, although based on Model NN₂ (with a $\hat{3}-\hat{4}-\hat{3}$ neighbour-note motion and I-IV-I progression in the fundamental structure), differs from earlier mazurkas in its use of a refrain-like passage 'x' between the four principal sections (as Example 35 and the diagram below indicate):

Fundamental line:		$\hat{3}$ ----- $\hat{4}$ ----- $\hat{3}$	$\hat{2}$ $\hat{1}$
Subsidiary line:		($\hat{3}$ $\hat{2}$ ----- $\hat{2}$ $\hat{1}$)	
Section:	Introduction (= x)	A x A x I; B; I C D x A x A'	
Harmonic area:	I	I+V V I+V V V+I I IV I+V V I	
Underlying progression:		I-----IV----I.	

By placing the 'refrain' in several different harmonic contexts (I, V and IV), Chopin highlights three pitches of structural importance. When in the tonic (bars 1-8), the passage prolongs the cover tone, b^2 ; in V (following each statement of A), f-sharp, i.e., ($\hat{2}$); and in IV (after D), the cover tone of the Trio, e. At the end of the Trio, the 'refrain' also reinforces the tonal foundation in the wake of the chromatic passage in 59-62.

As in the E minor Nocturne, successive restatements of the principal sections result in middleground and foreground appoggiaturas, and neighbour-note motions in the background. Chopin connects the ($\hat{3}-\hat{2}$) descent in A to B's ($\hat{2}-\hat{1}$) figure in a linear motion spanning some thirty bars. After the eight-bar prolongation of the cover tone - b^2 - in 41-8, another structural appoggiatura arises with the resolution from b^1 to the a^1 in 49-50 (i.e., ($\hat{2}-\hat{1}$) in IV). Treated motivically throughout D, the b - a appoggiatura is har-

monised by V-I progressions in the context of IV; by a sequence (IV: $\text{V}/_{ii} \rightarrow ii, V \rightarrow I$) which creates implied parallel octaves to highlight the motive (as in the sequential passages in Op. 6, Nos. 1 and 4, where melody and harmony are similarly linked); and by the adventurous chromatic excursion in 59-62 referred to above.

Both Abraham and Samson relate this complex passage to bars 5-9 of Op. 6, No. 1, although strictly speaking it is neither a 'chain of sevenths' nor a 'semitonal descent in all voices'. Here, despite the chromatic colouring, the music stays close to the diatonic structure, moving from an implied circle-of-fifths sequence in 59-60 (which elaborates the $\text{V}/_{ii} \rightarrow ii, V \rightarrow I$ progression from before) not to a further sequential phase but to a descent through $V^4/_2, I^6/_3, \text{V}/_v$ and V to I . The most striking similarity between this passage and the chromatic sequence in Op. 6, No. 1 is the 'improvisatory' way in which underlying structure is disguised in both cases. By adding chromatic passing notes and stating the successive harmonies not in root position but as inversions (cf. bars 4-9 of the F major Nocturne Op. 15, No. 1), Chopin intentionally obscures the circle-of-fifths sequence and the progression that follows, making the passage seem more complex than it actually is. Ironically, the inversions enhance structural comprehensibility with the octave descent that they outline in the bass: derived from section C, the bass octave shows yet again the close relation between melody and harmonic structure in the mazurkas of this period.

After the cadence in 64, the 'refrain' leads to A's reprise, which at first corresponds exactly (apart from details of phrasing) to its first statement, although in 87 the music leads not to V as in 27ff. but to I , in which the piece comes to an end. As the first varied recapitulation in the mazurkas, the 'coda'-like extension in 87-90 harmonically closes the section

(whereas A's previous statements were left open), enabling the fundamental line to reach $\hat{1}$. The four-bar conclusion - which is not a true coda, belonging instead to the body of the piece - thus plays an essential role in providing closure.

In the C major Mazurka Op. 7, No. 5, closure is totally withheld: the marking *Dal segno senza Fine* after bar 20 means that the work lacks a definitive conclusion. Leichtentritt writes that dancers of the Mazurka would 'spin and whirl into exhaustion'²⁶ with the *ad libitum* repetitions of the two main sections - A (in I) and B (in V) - which structurally are almost identical.

Example 36's hypothetical graph follows the voice-leading of Model 2 and the ABA form typical of most early mazurkas. Within this framework, subtle variations imbue each of the four phrases (A_1 , A_2 , B_1 and B_2) with a distinct character and structural function, although in all four the second scale degree is stressed and the head note linked to the cover tone in a manner similar to other mazurkas from the period (particularly Op. 68, No. 1, which in many ways resembles this work). Chopin's use of dynamics and second- and third-beat accents to emphasise structural pitches is noteworthy, as in 8 and 16, where, as if to offset the effects of registral transfer, *forzati* highlight linear connections shown in the foreground graph.

Experimentation with form and tonal structure is also evident in the A-flat major Mazurka Op. 7, No. 4, which exists in two versions. The earlier of the two (dated 1824 by Wilhelm Kolberg)²⁷ has the form AABA CCD A, whereas in the second, published version, Chopin calls for a repeat within the first part but omits B from the reprise, slightly altering A's final statement by adding rests and a fermata after the $IV^{6/3}$ in bar 43, and thus drawing atten-

tion to the fundamental line's descent. The Mazurka as published has the tonal structure shown below and in Example 37:

Fundamental line:	3-----4-----3 2 1
Section:	A A B A A B A A C C D A A
Subsidiary progressions:	I---iii--I---iii--I IV---bII--V ⁶ / ₅ --I
Underlying progression:	I-----IV-----I,

Although based on Model NN₂, this structure has an unusual feature: the transitional bII and V⁶/₅ harmonies at the end of the Trio. Section D's unexpected shift to 'A major' (the enharmonic equivalent of bII) to effect the return from IV to I is totally without precedent in the mazurkas. The diminished harmony in 36 corresponds to the chord on the downbeat of bars 2 *et seq.*, and the background descent²⁸ from f' through f-flat' to e-flat' acts as a motivic parallelism recalling the inner voices of A and B and the left-hand chromatic motion, bars 26 and 30. The opposition of diatonic and flattened sixths feeds the underlying tension caused by Lydian fourths.

As in other mazurkas composed at this time, Chopin deliberately disguises structural foundations. The interrupted cadences in 11 and 13 suggest not the tonicised mediant, C minor, but the tonic itself, causing some confusion as to section B's harmonic foundation. (Leichtentritt falls prey to this 'rational deception', describing the eight-bar passage as a 'truly Chopinesque drift between C major, C minor, and F minor'.)²⁹ Later, the enharmonic change in D masks the prolongation of 2 and the underlying I-IV-I progression of Model NN₂.

Like Op. 7, No. 4, the C-sharp minor Mazurka Op. 6, No. 2 exists in two versions significantly different in form, indicating Chopin's 'improvisatory' flexibility concerning the overall shape of these compositions. The autograph manuscript in the Nydahl Collection in Stockholm³⁰ ends after the Trio

(i.e., at bar 48), where the marking *Da Capo al Fine* indicates a literal repeat of bars 1-16. In contrast, the French first edition (based on a different autograph, now lost) has a written-out reprise of the introduction and section A, which is stated twice, with subtle changes the second time. Chopin highlights A's last statement and the fundamental line's descent to an even greater extent than in Op. 7, No. 4, with variations in rhythm, dynamics and ornamentation, and the *rubato* and *con forza* markings in 65 and 71.

Although at first the primary melodic tone appears to be g-sharp, the overall structure (which conforms to Model 2) establishes e as head note and g-sharp as cover tone, with motivic linear descents connecting the two.³¹ (See Example 38.) Model 1 joins A and B, and a middleground third-progression from d-sharp² to b-sharp¹ embellishes section B's ($\hat{2}$). This figure has motivic significance elsewhere in the piece, especially in the eight-bar introduction, where other important motives are also announced. Upon completion of the interruption form in bar 32, a progression through III to V follows, linking the Trio to the preceding statement of A and to the reprise of the introduction (which leaves unresolved the Trio's ($\hat{3} \hat{2}$) descent). Other sources of unity include motivic third-progressions derived from the fundamental structure, prevalent rhythmic patterns (such as the dotted quaver-semiquaver motive in A and B), and the cover tone, which is present virtually throughout the piece.

The F minor Mazurka Op. 7, No. 3 resembles Op. 6, No. 2 in several respects. In both works, an eight-bar introduction establishes a cover tone, ($\hat{5}$); later, after the Trio, the introductory material returns, followed by the recapitulated A section, which in its final statement is significantly varied. Furthermore, a subsidiary interruption form (Model 1) links A and B within the overall Model 2-based structure on which each piece is built, and

a $i-III-V$ progression in the background joins middle and outer sections. Despite these similarities, however, the F minor Mazurka is more ambitious, rather like Op. 6, No. 3 in form and scope but structurally more comprehensive. Hamburger refers to it as a 'symphonic type of mazurka',³² although in the same breath he dismisses it as a 'loose assembly A B C D', failing to observe the 'dynamic' underlying motion to V and the octave-progression (which is articulated by a succession of structural appoggiaturas similar to those in Op. 6, No. 3 and the E minor Nocturne) joining the four sections. (See Example 39.)

For the first time in the genre (as in most contemporaneous nocturnes and studies, from which the procedure could have derived), variation within the recapitulation involves phrase extension, which Chopin skilfully manipulates to withhold closure and to emphasise the fundamental line's descent when it finally does occur. Motivically important structural appoggiaturas again appear in the music to effect this delay. The g-f figures heard in 99-100 and 101-2 tease the listener, anticipating the structural descent and creating the expectation of closure, but at the same time postponing it for several bars. Despite the final surge of momentum generated in the treble by the appoggiaturas (which is enhanced by the registral expansion in 100, 102 and 105), the insistent bass pedal on F keeps the dominant at bay, thus weakening the cadence.³³ In the two-bar coda that follows, a $i-iv^6-i$ progression summarises the many plagal relationships in the piece, such as those in A (e.g., bars 9-12), and in C (N.B. the I-IV-I motion in III, which subtly introduces the harmony on which D is based: IV/III , or VI).

The extended 'symphonic' form, the descent spanning the middle sections, the goal-directed motion to V, and the varied recapitulation in Op. 7, No. 3 foreshadow Chopin's later mazurkas (many of which possess similar if

even more sophisticated features), as well as other mature works. Although experimentation in Op. 6 and Op. 7 enabled Chopin to define a distinctive mazurka style based on recurrent rhythmic, melodic and harmonic traits, structurally the seven mazurkas of the Vienna and early Paris periods have much in common with the nocturnes and studies, the waltzes and even the two *stile brillante* compositions that Chopin wrote in the early 1830s, indicating the extent to which a single 'structural style' had evolved by this time.

C. Rondo Op. 16; Grande Polonaise Op. 22; Op. 18 and Op. 34, No. 2

Chapter 1's analysis of the virtuosic *Rondo à la Mazur* Op. 5 revealed that the work's harmonic plan, structural voice-leading and motivic Lydian fourths derived from the mazurkas that Chopin was composing and improvising in the mid-1820s. The striking similarity at the background level between Op. 5 and the *Rondo Op. 16* (which was started in 1829 in Warsaw and completed three years later in Paris)³⁴ demonstrates the extent to which Chopin had assimilated structures from the dance genres into the *stile brillante* repertoire by the early 1830s: although Op. 16 makes no 'programmatic' use of the mazurka (in contrast to the *Rondo à la Mazur*), its tonal structure is virtually identical to one directly inspired by the dance.

As **Example 40a** and the diagram below indicate, Op. 16 is based on Model NN, (omitting the transitional episodes between principal sections - cf. Example 10 in Chapter 1). A and B are linked first by a large-scale neighbour-note motion, then by a stepwise descent from b-flat² to b-flat¹:

Fundamental line;	♯-----♯-----♯-----♯-----♯ ♯ ♯ ♯ ♯ ♯					
Subsidiary lines;	(♯ ♯ ♯ ♯ ♯)	(♯ ♯ ♯ ♯ ♯)	(IV:♯ ♯ ♯)	(♯ ♯ ♯ ♯ ♯)	(V:♯ ♯ ♯)	(♯ ♯ ♯ ♯ ♯)
Section;	Introduction	A	B	A	B	A + ext Finale
Underlying progression;	I-----IV-----I-----V-----I V I					

* Denotes embellishment of ♯ by subsidiary third-progression

As in Op. 5 and other *stile brillante* works from the early period, extension in A's final statement (bars 360-80) and decoration of the structural ♯ with a motivic third-progression used earlier (bars 65-7 *et seq.* - see **Example 40b**) highlight the fundamental line and create a strong sense of closure before the virtuosic finale begins. In ending the work, Chopin again makes

structural use of the initial ascent and the fundamental line to provide a solid foundation for the passagework.

Although the 'exploratory harmonies and impulsive changes of mood and tempo'³⁵ in the introduction give it an 'improvisatory' character, the 51-bar passage nevertheless has a clearly defined background structure based on the initial ascent and an underlying vi-V-I progression.³⁶ (See Example 40c.) Elaboration occurs via a middleground descending sequence (which is typical of the *stile brillante* repertoire and 'improvisatory' works in general) from vi to \vee^{11}/\vee_1 , and two neighbour-note motions in the bass (bars 9-23 and 23-39), which, although structurally identical, have different harmonisations. Further embellishment occurs in the foreground with the interpolation in 27-34: centred on 'C major', this is embedded within the larger-scale parenthesis on V in 23-39.³⁷

The relation between the cadence in 65-7 and A's extension in 360-80 foreshadows the similar motivic use of a descending sequence from B. Derived from the circle of fifths (see Example 40d), this sequential progression harmonises the finale's 'fundamental line'; unity is further enhanced by the embellishment of (2) in 429-35, which recalls the similar figure at the end of each statement of A and within the fundamental structure itself.

Unfortunately these references are overwhelmed by the discursive passagework interposed between successive statements of A and B. As in earlier rondos, Chopin conceived a structure based on the principal sections, connecting these 'pillars' with virtually independent modulatory transitions.³⁸ Despite the weaknesses inherent in this approach, however, the Rondo should not be dismissed, for it shows important 'progress' in Chopin's development, particularly when compared with its predecessor in the genre, Op. 73. The background structure in Op. 16 (which is derived from the dance genres) sug-

gests that in the repertoire composed from now on - even music in the *stile brillante* - Chopin attempted to establish an all-embracing, 'improvisatory' tonal plan as the basis for *Auskomponierung*. This attention to tonal structure would eventually lead to the extended compositions of the middle and late periods, once Chopin refined his ability to integrate the structural hierarchy within a work.

In the *Grande Polonaise* Op. 22 - the only other 'brilliant' piece from this period - foreground, middleground and background are more closely related than in Op. 16. Whereas most early polonaises are based on a *da capo* form ABA CDC ABA, in Op. 22 Chopin avoids literal recapitulation within the outer sections by varying the music just before the point of closure. (See **Example 41a**.) Between the outer wings lies a 'through-composed' middle section (shown in **Example 41b**) significantly different from the standard CDC Trio. In this central section, Chopin recycles material from A and B, exploiting two structural 'motives' in particular: the paired sequential progressions on which the section is built and the linear arch in the treble,³⁹ which eventually reach $\hat{2}$ and the dominant harmony in the Model 1-based fundamental structure spanning the entire Polonaise (see **Example 41c** and the diagram below):

Fundamental line:	$\hat{3}$ ----- $\hat{3}$ $\hat{2}$ $\hat{3}$ $\hat{2}$ $\hat{1}$
Subsidiary lines:	($\hat{3}$ $\hat{2}$ $\hat{3}$ $\hat{2}$ $\hat{1}$) ($\hat{1}$ $\hat{2}$ $\hat{3}$ - $\hat{4}$ - $\hat{3}$) ($\hat{3}$ $\hat{2}$ $\hat{3}$ $\hat{2}$ $\hat{1}$) ($\hat{3}$ $\hat{2}$ $\hat{3}$ $\hat{2}$ $\hat{1}$)
	($\hat{3}$ $\hat{2}$ $\hat{1}$) ($\hat{3}$ $\hat{2}$ $\hat{1}$)
Section:	A-----B-----A' (Middle section) A-----B-----A' Coda

The middle section uses the I $\vee/_{44} \rightarrow ii$ V \rightarrow I progression from A and A' and the similar harmonic motion from B (I $\vee/_{44} \rightarrow ii$ V) as the point of departure for an extended, structurally symmetrical pair of sequences elaborating a middleground 'model' in the following manner:

Structural pitch:	$\hat{1}$	$\hat{2}$	$\hat{3}$ ----- $\hat{4}$ ----- $\hat{5}$		$\hat{2}$	$ \hat{3}$	
Mg 'model':	I	$v^7/ii + ii$	$v^7/iii + iii$	$v^7/iv + IV$	$v^7/iii + iii$	$v^7/ii + ii$	$v^7 + I$
Realisation:	I	$v^7/ii + ii$	$v^7/iii + iii$	$v^7/iv + IV$	$v^7/iii\#3 + III\#3 (= v/v_i) + vi$	$\# v/v + v + I$	
Bar:	77	80	84	88	93	105	126 133 161

* Denotes interpolation in 'D-flat major' (bars 121ff.) interrupting the structural descent in vi (bars 105-20)

The linear arch traced by this harmonic progression recalls at a structural level the melodic shape from the first eight bars of A and A', i.e., ascent from the head note (g^2) to the cover tone ($b\text{-flat}^2$), and then descent to g^2 .

Perhaps the most important feature of the *Grande Polonaise* is the structural role given to the two sequences in the middle section. Whereas in earlier 'brilliant' works Chopin tends to confine sequences such as these to the foreground and particularly to the more virtuosic passages within a piece (where they often appear in endless concatenations), here they form the very structure of the middle section, generating momentum by their disproportionate lengths and contrasting harmonic rhythms. By establishing the expectation of symmetry and therefore of closure in the first part of the section, and then denying it by distorting the harmonic proportions within the second sequence (note especially the D-flat interpolation in 121ff.), Chopin makes the underlying structure of the middle section all the more dynamic.

The importance of these sequences extends beyond the middle section: motivically related to the outer parts of the work, they also correspond to the descending sequences in the coda (which is based on Model 1, like the *Polonaise* itself). (See **Example 41d**.) Chromatic detail further enhances unity: unlike Chopin's other works for piano and orchestra, Op. 22 makes motivic use of chromatic ascents and descents, as well as *fioriture*. Although their immediate purpose is one of virtuosity, Chopin subtly exploits these 'motives' to increase tension (e.g., in 47-51 and 97-101), to delay

(103-4), and to extend (70-6, where A's varied ending marks the descent of the 'fundamental line').⁴⁰

In the E-flat major Waltz Op. 18, Chopin again uses a sequence as the basis of an extended structure: the circle-of-fifths progression from bars 1-180 in the middleground links successive sections into a structural entity, overcoming the impression of concatenation that Hamburger alludes to when he writes, 'the Waltz on the whole is not closely organized'.⁴¹ (See Example 42a.) Samson similarly refers to the discrete nature of consecutive sections, although unlike Hamburger he notes some of the ways in which Chopin overcomes formal divisions:⁴²

The reprise of the opening material [in bars 189ff.] follows a sequence of no less than seven separate ideas in the arrangement ABA CDC EFE G ABA Coda, establishing the pot-pourri design favoured in most, though not all, of the later essays. Certainly the result in Op. 18 is sectional, but continuity is aided by rhythmic links between A and B, motivic links between B and D, textural links between C and E and again between D and F. Section G, the last theme to appear, is an extension, moreover, of an anacrusis phrase already implanted in D, while the extended coda, introduced by a calculated break in continuity, draws together elements of A, B, D and F.

While valid for the most part, these observations err in one important if seemingly trivial respect. The Waltz starts not with the symmetrical ABA structure described by Samson, but with an ABAB group ending in IV: harmonically it is therefore left open, in contrast to the closed CDC, EFE and G units.⁴³ By moving to IV in the second B section without then returning to the tonic, Chopin launches the structural circle-of-fifths progression from I through IV, ♭VII and ♭III to V, which arrives after section G.

This sequential structure affects the fundamental line by adapting the interruption form of Model 1 into a chromatically altered $\hat{a}-\hat{a}$ descent, followed by a diatonic $\hat{a}-\hat{a}$ motion. Chopin draws attention to the diatonic descent by adding rests and different dynamic markings in 232ff., and by delaying \hat{a} until 242. The extended coda that follows compensates for ♭VII's

prolongation throughout much of the piece, and for the agogic 'syncopations' in harmonic rhythm at background and middleground levels (see **Example 42b**).

Within the chromatically altered fundamental line appear numerous subsidiary structural descents on which the successive sections are built. (See **Example 42c**.) Although the work might not seem 'closely organized', Chopin arranges the melodic structures of the seven sections so that ($\hat{g}-\hat{f}$) and ($\hat{g}-\hat{f}$) descents alternate (except between C and E, where two ($\hat{g}-\hat{f}$) structures appear consecutively). Other unifying features include the recurrent cadential pattern I-ii(ϵ/ϵ)-I $\epsilon/4$ -V 7 -I in sections A, C, E, F and G, which acts as a harmonic motive, and the anticipation of \flat III in section E (bars 117ff.), although it is not until much later - in section G - that \flat III succeeds \flat VII in the underlying circle-of-fifths sequence. This use of harmonic references recalls the similar one linking B and D: coming so soon after B's subdominant, A-flat major in section D sounds more like IV than \flat V/bVII, which in context is its function. The momentarily ambiguous role of A-flat joins C and D to B, just as in section F the 'dominant minor' (acting contextually not as v but as \flat V/bVII) prepares for V in the transitional passage after G.

These connections - which range from subtle harmonic references to the sequence on which much of the piece is built - foreshadow the even more remarkable synthesis that Chopin achieves in the **A minor Waltz Op. 34, No. 2**. Although the autograph manuscript shows that the work was sectionally conceived,⁴⁴ Chopin ensures that each section contributes in some way to the comprehensive structural descent on which the Waltz is based, thus overcoming formal divisions which otherwise might have arisen. As **Example 43** and the diagram below indicate, the Waltz follows a 'freer division form' $\hat{g}-\hat{g} \parallel \hat{g}-\hat{f}$,⁴⁵ with mixture resulting from \hat{g} 's chromatic inflection in section D:

Fundamental line;	\hat{s}	\hat{a}	$\hat{\#3}$	$\hat{43}$		\hat{s}	\hat{a}	$\hat{\#3}$	$\hat{43}$		$\hat{2}$	\hat{i}					
Underlying harmony;	i	i	III	V		I $\#3$	i 43	i	III	V		I $\#3$	i 43	i	III	V	i
Section;	A	B	C			D ₁	D ₂	B	C			D ₁	D ₂	A	E	A,	

After prolonging the primary melodic tone \hat{s} in B and C (the latter of which is based on two five-note descents in III and V), Chopin temporarily halts the otherwise steady waltz rhythm in a two-bar anacrusis to D₁, when the fundamental line descends through \hat{a} in bars 52 and 120. Although at first A's return in 153-68 sounds like a conclusion (hence Samson's reference to what follows as the 'coda'),⁴⁶ it actually postpones closure by delaying until E both the resolution from \hat{s} to $\hat{2}$ and the structural V. The sixteen-bar 'refrain' thus subtly emphasises the following passage, which Chopin invests with some of the most beautiful music in the piece: the 'flowering of the left-hand melody into a consolatory quaver line',⁴⁷ the expressive right-hand countermelody, and the poignant ascent from g' through g-sharp' and a' to b', which prepares for the resolution from \hat{s} to $\hat{2}$ in bar 177. The 'motivic' harmonic progression accompanying the ascent leads through III to V (as in section C), which, hitherto denied structural significance, is finally made prominent, in part by means of the four-bar phrase extension in 185-8. Having reached the dominant, the music returns to A, which now provides the final pitch in the fundamental line (whereas in the introduction it anticipated the head note, \hat{s} , and in 153-68 it prolonged \hat{a}).

The comprehensive conception results in various parallelisms: recurrent interruption forms (in A, B, D₁ and D₂) which act as structural motives; the bass descent in 173-7, which recalls the similar motion linking sections B and C; and the e-f-e neighbour-note figure. Perhaps the most remarkable parallelism is the middleground and foreground bass ascent in bars 17-24 *et seq.*, which reflects the fundamental line itself.⁴⁸

Comparison with the five waltzes from the early period shows the extent to which Chopin's 'improvisatory long-range vision' had evolved by the time the A minor Waltz was written. The mastery of tonal structure evident in Op. 34, No. 2 could well suggest a later date of composition than that put forward by Samson *et al.*, although other works from the early 1830s - notably the Op. 9 and Op. 15 Nocturnes, and the Op. 10 Studies - are hardly less striking in their synthesis of structure and expressive effect.

D. The Nocturnes: Op. 9 and Op. 15, Nos. 1 and 2

Chopin's enhanced sensitivity to structural momentum in the music of this period is clearly revealed in the first published nocturnes: manipulation of structural pitches invests each of these pieces with a strong sense of forward impulse. By delaying the fundamental line's resolution in some works (for instance, Op. 9, No. 1) or by stating it prematurely to deceive the listener (as in Op. 15, No. 1, where 'î' is first reached in the wrong harmonic context), Chopin exploits structural momentum to maximum effect. The new approach to closure foreshadowed in several of the Op. 6 and Op. 7 Mazurkas also takes greater hold in the nocturnes. Literal recapitulation is avoided in all but one of these works: Chopin usually abbreviates the reprise but at the same time extends the 'final' phrase to emphasise the structural descent. Typically these extensions involve embellishment of the structural $\hat{2}$ and prolongation of V with the descending-third melodic figure and 'changing-note' bass progression discussed earlier. Variation in the standard ABA form is matched by greater structural complexity: within all-encompassing tonal frameworks, Chopin builds subsidiary sections on the voice-leading models, as in Op. 9, No. 2, where Model 1 joins A and B within the Model 2-based structure spanning the entire piece. 'Dynamic' harmonic progressions are found at the background level in three nocturnes - Op. 9, Nos. 2 and 3, and Op. 15, No. 2 - although these tend to create rather less structural momentum than their counterparts in the Op. 10 Studies.

At first glance, the B-flat minor Nocturne Op. 9, No. 1 seems simple in design (hence Lennox Berkeley's description of the work as 'a straightforward ABA, the middle section being simply a prolongation of the melody involving a

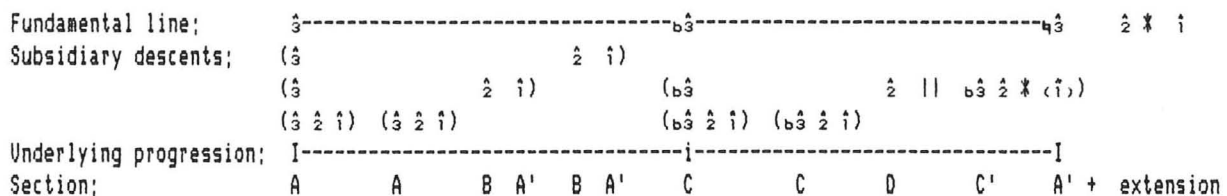
change of key but preserving the same accompaniment').⁴⁹ Based on a i-III-i progression and voice-leading derived from Model 2 (see Example 44), it resembles the early polonaises more than its predecessor in the genre, the E minor Nocturne. On closer inspection, however, its subtlety and sophistication become apparent. The entire piece works towards 'correct' completion of the fundamental line: just as c^2 is avoided in the (\hat{a} \hat{a} \hat{a} \hat{a}) melodic motive heard throughout A and A', so is the structural \hat{a} c^2 withheld at a more profound level. In the outer sections, the five-note structural descent is divided into two parts: \hat{a} - \hat{a} in 1-15 and 71-7 (i.e., f^2 to d-flat², which, based on the first three pitches of the melodic motive, is also important in B), and \hat{a} - \hat{a} in 15-18 and 77-80. Resolution occurs via the flattened supertonic, c-flat, after unsuccessful attempts in 15-16 and 77-8 to reach \hat{a} via the diatonic \hat{a} , c-natural. Phrase extensions resulting from these failed attempts generate momentum (along with the registral expansion in the treble), highlighting the flattened \hat{a} and the Neapolitan harmony accompanying it. The six-bar coda after the abbreviated reprise A' dissipates residual tensions by reiterating the resolution from c-flat to b-flat, although the diatonic c-natural is avoided altogether.

The unorthodox structural descents in A and A' are echoed in B, where, in the context of III, Chopin alters the section's (\hat{a} - \hat{a}) structure so that it too is never stated diatonically. Although the Model 1-based voice-leading of some phrases incorporates the diatonic (\hat{a}) e-flat, the structural descent itself - which is rearticulated with each statement of phrase b_2 - moves from (\hat{a}) through (\hat{a}) (embellished by d-natural and c-natural) to (\hat{a}), accompanied by a I $\text{vs-5}/\text{bII} \rightarrow \text{bII } V^7 \rightarrow \text{I}$ progression.⁵⁰ As B's response to the b_2 and Neapolitan sixth from A, the sharpened \hat{a} and bII harmony reflect the Nocturne's steady focus on chromatically altered supertonics. To connect B to

harmony and reflection of the three-note structural descent in the first two bars of C₁ (both of which could indicate the start of a coda), the passage ends not after two bars - as it would if C₁ were a coda - but after another complete four-bar phrase, in which Chopin specifies *poco rubato*, *sempre pianissimo* and *dolcissimo* not only to heighten expression but also to bemuse the listener, who would otherwise anticipate the end of the 'coda' on the last beat of 26. The subtle impetus created by this 'rational deception' gently propels the music to C₂, where once again Chopin deceives, this time withholding closure by means of the *con forza* and *stretto* markings in 30 and the climax that follows in the next few bars when $\hat{2}$ and the dominant are reached. The generation of structural momentum through C₁ and C₂ towards this climax ensures that the fundamental line stands out from earlier statements of the same linear progression in the four A sections: Chopin reserves the Nocturne's most exciting music for the 'real' structural descent, which extends beyond bar 24 (where it would have ended had C₁ and C₂ been the coda) through the $\hat{2}$ in 31 and its three-note embellishment in the cadenza to the downbeat of 33.⁵³

Although different in function and character, A, C₁ and C₂ are similar in other respects, namely their three-note linear structures (versus the ($\hat{5}$ - $\hat{1}$) descents in B₁ and B₂), and their embellishment of $\hat{2}$ with a descent from f to d and a 'changing-note' progression (except in C₁, where ($\hat{2}$) is unembellished and only the second part of the 'changing-note' progression appears, in preparation for C₂'s fuller statement).⁵⁴ The ornamental b-naturals and c-flats in the A sections also foreshadow the chromatic descents in 27-8 and 30-1 and the trill-like turning figure in the cadenza, which reorders the five pitches on which the 'changing-note' progression is based. Other recurrent motives include reaching-over and reaching-under fig-

As in Op. 9, No. 2, Chopin attaches considerable structural importance to the final section of the B ~~major~~ Nocturne Op. 9, No. 3, where an extended embellishment of $\hat{2}$ and a cadenza prolonging V accompany the fundamental line's descent to $\hat{1}$. (See **Example 46**.) As the diagram indicates, the work is based on a I-i-I harmonic progression and $\hat{2}-b\hat{2}-\hat{4}\hat{2}$ structural neighbour-note motion which recall Model NN₃:



The three-note structural progressions in ABA' and CDC' are but one of the unifying motives in the Nocturne. At background and middleground levels, Chopin prolongs the 'head notes' in A and C by means of an identical neighbour-note motion to e², and in B and D he extends the three-note structural descents to longer linear progressions - to an octave and a fifth respectively (interrupting the latter with the brief interpolation in 112-15). At the end of C', the embellishment of (â) foreshadows the interrupted cadence and cadenza in the extension to A'. Within the foreground, particular use is made of the reaching-over figure preceding the neighbouring tone e² in 5-6: as the first of many such shapes in A, it anticipates the more profound role played by reaching-over and échappée motives throughout C, D and C'. Other details common to most sections include neighbour-note figures, which imitate the embellishment of the 'head notes' as well as the chromatic motion within

the fundamental line itself, and a recurrent cadential harmony, which generally takes the shape of a diminished supertonic chord over a dominant pedal (as in 18, 38, 62, 86, 130 and 149) but also assumes other forms (cf. 93ff.).

The most striking use of the distinctive diminished supertonic occurs in the extension following the recapitulation. In summarising the work's principal features, Chopin restates the harmony at the start of the cadenza, after the interrupted cadence in 151 (marked *con forza*) and the ensuing descent from b^2 to b^1 in 151-5 (which is a subtle reference to B's octave descent). The diminished harmony gives way to the 'coruscating shower of chromatic particles'⁵⁶ that follows when the structural dominant is reached once and for all in the second part of the cadenza, prolonging a-sharp until resolution to $\hat{1}$ occurs in bar 156. The two-bar coda restores the diatonic sixth scale degree g-sharp after the many g-naturals at the start of the cadenza and throughout the piece; the last three pitches reflect the fundamental line, reaching the Nocturne's registral peak, d-sharp⁴, which 'resolves' the cadenza's c-sharp⁴.

The structural weight that the cadential extension and the cadenza attach to the reprise of A' more than compensates for the recapitulation's brevity relative to earlier statements of A and A'. As in Op. 9, No. 2, the surge of momentum towards the close of the piece overcomes the 'squareness of structure' that could have resulted from successive sectional repetitions. This technique of reserving the most dramatic music for the end of a work foreshadows the apotheosis-like reprises of Chopin's later music, although in Op. 9, No. 3 the effect is very different from the bravura finales of larger works such as the ballades and scherzos.

Of the five nocturnes composed in 1830-2, only Op. 15, No. 1 in F major lacks this concentration of structural weight towards the end of the work.

Apart from minor changes, the final section is identical to the first in the ABA form on which the piece is built: recapitulation is virtually exact. In its lack of 'ornamental melody',⁵⁷ the work stands further apart from other nocturnes of the period, although there are also many common characteristics. Like Op. 9, No. 3, the F major Nocturne is based on a I-i-I progression and chromatic neighbour-note motion $\hat{3}-b\hat{3}-\hat{4}\hat{3}$ (see Example 47), and in both pieces the middle and outer sections have contrasting moods and functions, notwithstanding structural similarities. Furthermore, as in Op. 9, Nos. 1 and 2, structural momentum is generated by the fundamental line's various attempts to descend definitively and by the withholding of closure that results.

'Correct' resolution from the primary melodic tone a^2 to the structural $\hat{1}$, f^2 , is the main priority throughout A. After the ascent to $\hat{3}$ in 1-4, the melody descends to e^2 , accompanied by an implied middleground circle-of-fifths sequence and a foreground descent through an octave (both of which embellish a background-level $I-iii-V$ progression, as discussed earlier). The second phrase starts with a similar ascent to a^2 but then enters into a series of extensions to the basic 4 + 4 unit established in the symmetrical first phrase. Chopin spins out the music by suggesting the imminent arrival of $\hat{1}$ but then delaying it, both in 14-16 (which launches a three-bar extension) and in 19-20 (where, although resolution appears to take place, the music begins a two-bar extension leading to $\hat{1}$ on the downbeat of 22). The seemingly complex foreground harmonies accompanying the fundamental line's attempts to resolve heighten uncertainty as to when closure will occur. Once $\hat{1}$ has been reached, a three-bar 'coda' based on bars 1 and 2 leads to B (while at the end of the work, the parallel passage closes with a reminiscence of the structural $\hat{2}-\hat{1}$ resolution).

The turbulent middle section in the tonic minor reinterprets A's three-note descent in new harmonic contexts. In the first twelve bars, a pair of subsidiary linear progressions (diatonic relative to VI) lies within the passage's 'fundamental line', which, registrally displaced, 'descends' through g^2 to f^2 . The second half of the section (also centred on VI) exploits this displacement by treating the resultant sixth from a-flat' to f^2 - i.e., the inversion of the third between $(\flat\hat{a})$ and (\hat{f}) - as the framework for a linear arch,⁵⁸ which is accompanied by a circle-of-fifths sequence recalling the similar progression in A's first phrase. The hemiolas in 45-6 and the written-out *ritardando* that follows lead through iv to I.

Whereas the F major Nocturne lacks the build-up of structural momentum found in the Op. 9 pieces due to A's exact recapitulation and B's essentially independent nature, the **F-sharp major Nocturne Op. 15, No. 2** has a more dynamic shape. Based on a small-scale interruption form (as **Example 48** and the diagram below indicate), A is joined to B in a larger Model 1-derived structure, which is followed by the ascent from \hat{a} to the cover tone (\hat{a}) spanning the entire B section:⁵⁹

Fundamental line;	\hat{a}	\hat{a}		\hat{a}	\hat{a}	*	\hat{f}	
Subsidiary lines;	$(\hat{a} \hat{a} \hat{a} \hat{a} \hat{f})$	$(\hat{a} \hat{a} \hat{a} \hat{a})$						
Underlying harmony;	I	V	III ^{*3}	V ⁷	V	I	V	I
Section;	A	B				A'		

* Denotes embellishment of \hat{a} by subsidiary third-progression

Chopin stresses the close of the fundamental structure with the sudden surge of momentum in the abbreviated reprise A': marked *con forza*, the expansive bar 54 leads to three linear descents in an extension of the 4 + 4 phrase unit on which A was based. The second of these states the structural \hat{a} and the subsidiary embellishing figure (accompanied by the characteristic

'changing-note' harmonic progression), and the last of the three arrives at $\hat{1}$, following the elaborate ornamentation in 57 which prepares for the structural resolution in a final 'motivic' reference to the *fioriture* found throughout the work. The five-bar coda - which initially highlights the cover tone c-sharp, resolving to the primary melodic tone a-sharp in the final bar - harmonically and melodically balances the eight-bar passage at the end of B.

The appoggiaturas in the two 'codas' result from a steady focus on c-sharp, c-double-sharp, d-natural and d-sharp.⁶⁰ Other unifying features include neighbour-note figures, five-note and seven-note rhythms (e.g., 3, 4, 10, 12, 13, 23, 25-32, 50 and 52), *fioriture*, and the continual juxtaposition of head note and cover tone, which ultimately results in the linear ascent in B. Chopin subtly prepares for the 'changing-note' progression in A' by stating the same harmonic succession in the first of A's paired phrases.

E. The Op. 10 Studies

Although stylistically different, the nocturnes and studies share many structural features. Virtually all are based on ABA' forms (except Op. 9, No. 2, although even in this work the *da capo* principle applies to some extent) in which the reprise is abbreviated despite the use of phrase extensions to highlight the fundamental line's descent. The shift in structural weight towards the end of these pieces compensates for concentration of the most complex music in their middle sections. Here Chopin builds extended passages on linear ascents (as in Op. 15, Nos. 1 and 2, and Op. 10, Nos. 2, 3, 4, 6, 10 and 11), descents (Op. 9, Nos. 1 and 3, and Op. 10, Nos. 1, 3, 5, 7, 8, 9, 10, 11 and 12), and complicated sequential progressions. Some middle sections are extremely chromatic: in Op. 10, No. 3, tonality is 'temporarily suspended'.⁶¹ Nevertheless, Chopin ensures structural stability by means of motivic parallelisms, which encompass contour and rhythm as well as harmony and melody.

Jim Samson writes that 'The Op. 10 Studies have a special importance in Chopin's output. More than any other works at the time they act as a bridge between the *stile brillante* of the apprentice years and the unmistakable voice of maturity.'⁶² The assimilation of highly virtuosic musical language into voice-leading structures derived from the dance genres (whose tonal solidity contrasts with the instability of formally conceived 'brilliant' pieces) endowed the studies with greater coherence and more satisfying proportions relative to the rondos and sets of variations. By using 'dynamic' progressions at the background level in most of the Op. 10 pieces, Chopin

also maximises structural momentum, thus uniting the three sections of the typical ABA' form.

Within these all-encompassing structures, the focus on a certain figure enhances unity in each study. Gerald Abraham comments that

The technical purpose of an étude can best be achieved by embodying the particular problem in a single motive or pattern which is persistently worked out all through the piece. And this basing of the whole composition on one motive ... solved for Chopin the real problem of miniature form; contrast and variety within a small unity. Even the purely melodic studies, Nos. 3 and 6, are based mainly on motive-generated melodies with regular-patterned accompaniments, and the all-pervading figure unifies each piece as do the dance-rhythms of the polonaise or mazurka, and does it much more organically.⁶³

In itself, however, the use of a 'single motive' in a work is insufficient to ensure coherence: unity arises at a more profound level from Chopin's ability to relate detail to the whole - i.e., foreground to background - in Schenker's 'sweep of improvisation'. Synthesis of the 'all-pervading figures' in the foreground and 'dynamic' harmonic progressions at background and middleground levels makes the Op. 10 Studies Chopin's first extended masterpieces.

In the C major Study Op. 10, No. 1, opposition between the closed turning figures embellishing *e* in bars 1-9 *et seq.* and the chromatic and diatonic descents in 25-44 and 69-77 generates tremendous momentum over and above the waves of arpeggios that provide the Study's technical *raison d'être*. (See Example 49.) By stating and restating the turning motive without resolving to the structural $\hat{1}$, *c*, Chopin makes the fundamental line's descent all the more dramatic when it occurs in 72ff., particularly as he ingeniously incorporates chromatic and diatonic linear motions derived from the middle section.

The form and tonal structure of the Study can be understood only if viewed in terms of this motivic conflict. Although the move to A minor -

i.e., vi - in bar 17 suggests the start of a new section (as Schenker and Leichtentritt claim in their analyses of the work),⁶⁴ it is not until after the arrival on III*³ (= \vee/\vee_1) in 23-4 and the beginning of the chromatic descent in the next bar (see motive y in the foreground graph) that focus on the melodic turning figure is temporarily suspended. Accompanied by two circle-of-fifths sequences⁶⁵ and a steady acceleration in the harmonic rhythm, the linear descent concludes when the turning figure returns in 44ff., after which III*³ enters again in 47-8. The expansive middle section is thus framed by the III*³ chords in 23-4 and 47-8, which function not as \vee/\vee_1 but as harmonies in their own right. As if to emphasise this 'autonomy', Chopin restates the altered mediant in bars 65-6 in a middleground imitation of the background's I-III*³-I motion.⁶⁶

The twelve-bar phrase in which this harmonic parallelism appears recalls the middle section (where the eight-bar phrases established in A are extended into twelve-bar units), at the same time preparing for the last phrase, which is also twelve bars in length (including an implied bar 80). Here, after motive y's final statement in 69-71, Chopin embellishes $\hat{2}$ with the familiar subsidiary third-progression. The accompaniment seems more complex than it actually is, given the right-hand suspensions (which distort the chromatic descent and cause confusion as to the underlying harmony) and the early entrance of the bass Gs.

Sequential structures also lie at the foundation of extended passages in the A minor Study Op. 10, No. 2, which was composed in 1830 along with the C major. Within the 'dynamic' $i-IV^{*3}-V$ progression spanning the middle section at the background level (see Example 50), Chopin adds an ascending sequence in bars 19-24 of the middleground, followed by a circle-of-fifths progression in which vii^{b3} is tonicised for the second time. Both the gen-

eral emphasis on G minor (i.e., vii^{b3}) and further sequential elaboration in the foreground mask the true structural function of IV^{*3}, which sounds more like \vee/\vee_{iib3} than the chromatically altered subdominant.⁶⁷ A stepwise ascent from the prolonged \hat{a} in bar 19 to (\hat{a}) at the start of the recapitulation (bar 36) extends through the section as the structure on which the successive sequences depend for coherence. Once the cover tone (\hat{a}) has been reached in 23, Chopin delays the next pitch, f-sharp', by means of a subsidiary descent through a seventh. A *forzato* emphasises f-sharp's structural importance when it arrives on the downbeat of 30 with the 'disguised' IV^{*3} harmony. The penultimate pitch in the ascent to (\hat{a}) - g-sharp' - is prolonged for four bars until the reprise starts in 36.⁶⁸

Although confined to phrases a₁ and a₃, the recapitulation is otherwise exact, except for bar 45: whereas the parallel bar 18 prolongs the tonic in preparation for the middle section, its counterpart later in the work launches the coda. The fundamental line's resolution in 44-5 is imitated by the b²-a² and b³-a³ figures in 45-6 and 46-7, and the *tierce de Picardie* at the end summarises a principal source of tension in the Study: the clash between the diatonic third, c-natural (i.e., the head note in Example 50),⁶⁹ and the chromatically altered mediant, c-sharp, which is stressed throughout A and A'.

Chopin motivically exploits what Samson calls the 'minor undulations in the descending line, including written-out trills (bar 4) and changing-note patterns (bar 8)',⁷⁰ which result from the asymmetry of A's linear arches. Momentum is generated by variations in period and direction: note in particular a₃'s symmetrical six-bar arch (which extends the basic four-bar unit); the one-bar waves at the start of B, followed by shorter half-bar units in

30-1; and the five-bar arch in the coda, which enhances the sense of stability as the work draws to a close.

Another study composed in 1830 - Op. 10, No. 5, in G-flat major - is also characterised by a motivic use of contour, as well as an abbreviated reprise, phrase extension at the descent of the fundamental line, and relative structural complexity within the middle section of the work. The so-called 'Black-Key' Study is based on an interruption form (i.e., Model 1 - see Example 51) in which $\hat{2}$ (first stated in bar 15) is prolonged by a background-level descent from $(\hat{6})$ to $(\hat{1})$ in the context of V, spanning some twenty-five bars. As the right-hand figuration is intentionally confined to the piano's black keys, Chopin transfers some of the pitches in this subsidiary descent - namely, f' , f -flat' and the embellishment of $(\hat{2})$ - into the left hand, as the foreground graph indicates.

The two third-progressions that appear in 27 and 28 immediately before the left-hand structural pitches imitate the fundamental line, although in the 'wrong' harmonic context. Even so, they provide a sense of resolution to g-flat, whereas in the first fifteen bars the melody fails to descend below a-flat, creating a 'structural dissonance' resolved only with $\hat{1}$'s arrival in 67. Similar motivic statements of the three-note figure in 57-8 and 59-60 over $I^{6/3}$ prepare for the more definitive structural descent later in the work. Based initially on material from B, the coda ends with several reiterations of the three-note motive in the context of $I.^{7'}$

Although Chopin builds the phrase structure from four- and eight-bar units, two deviations occur: in bars 61-6 (where, just before the fundamental line's descent, the decrease in harmonic rhythm results in a six-bar phrase designed to emphasise the structural event about to take place), and

in bar 23 (where g-flat - \hat{a}) - interrupts the phrase starting in 17, thus launching the five-note descent on which much of B is based).

Considerable variation in figuration occurs throughout the Study. The virtually constant semiquaver motion takes the form of broken triads, octaves, neighbour-note figures and arpeggios. Subsidiary rhythmic groupings embedded within the semiquavers (for instance, bar 1's right-hand hemiolas) generate momentum, as do changes in the direction and period of arch-shaped contours. It is significant that in bar 23 - i.e., at the start of the five-note structural descent⁷² - Chopin first abandons the basic contour of two bars of downward motion followed by upward motion in the next two bars. The ascent beginning in 23 culminates in two inversions of the 'motivic' arch shape in 33-6 and 37-40, which prepare for the long-awaited V in 41. In the eight-bar passage preceding the recapitulation, the right hand is relatively static, as in the phrase extension before the fundamental line's descent.

The companion to the G-flat major Study could not be more different in character, notwithstanding certain structural similarities. *Op. 10, No. 6* in E-flat minor - also composed in 1830 - has an 'intense, brooding quality far removed from anything previously characterised as a study'.⁷³ The work's innate pessimism arises largely from the chromatic figuration in the accompaniment, the effect of which extends to virtually all facets of the piece, even its tonal structure. As in *Op. 9, No. 1*,⁷⁴ Chopin continually replaces the diatonic \hat{a} by $\flat\hat{a}$ - f-flat - in the context of the Neapolitan, which, as Samson notes,⁷⁵ is foreshadowed in the accompaniment as early as bar 1. Explicitly stated in 7 and 15, $\flat\text{II}$ is tonicised in 21-4 at the climax of the work, later returning in the last four bars of the abbreviated reprise, where, in a poignant extension of the final phrase caused in part by the

embellishment of $\hat{b}\hat{2}$, the fundamental line is made to wait before resolving to e-flat¹.

The structure shown in **Example 52** is based on a $\hat{s}-\hat{a}-\hat{s}$ neighbour-note motion in the fundamental line and a background-level progression from i through iv (which diatonically replaces the middleground and foreground bII^{e}) to the dominant divider. Once V is reached, the fundamental line descends to $\hat{2}$, accompanied by a 'motivic' changing-note harmonic progression (cf. bars 6-8, 14-15 and 46-7 of the foreground and the left-hand figuration in bars 1 *et seq.*). Other parallelisms include the interruption form in A (i.e., $\hat{s}-\hat{b}\hat{2}$ || $\hat{s}-\hat{1}$), which is related to the fundamental structure, and the reaching-over figure in the treble, bars 25-31, which, like the changing-note shape, is derived from the left-hand pattern in bar 1. Here the figure prevents parallel octaves between the underlying $i-\text{iv}-V$ progression and the last two pitches in the ascent extending through B, from $(\hat{1})$ in 16 to (\hat{s}) in 33.⁷⁶

The **F major Study Op. 10, No. 8** is also based on a neighbour-note motion in the fundamental line (see **Example 53a** and the diagram below):

Fundamental line;	\hat{s} ----- $\hat{2}$ * $\hat{1}$			
Subsidiary descents;	$(\hat{s} \hat{2} \hat{s} \hat{2} \hat{1})$	$(\text{III}^{\text{e}3}; \hat{s} \hat{4} \hat{s})$	$(\hat{s} \hat{b}\hat{7} \hat{6} \hat{s} \hat{s} \hat{b}\hat{7} \hat{6} \hat{s} \hat{4} \hat{s} \hat{2} \hat{1})$	
		$(\text{III}^{\text{e}3}; \hat{s} \hat{4} \hat{s} \hat{2} \hat{1})$		
Underlying harmony;	I	vi + $\text{III}^{\text{e}3}$	V^7 I	
Section;	A	B	A'	Coda ₁

* Denotes embellishment of $\hat{2}$ by subsidiary third-progression

Chopin builds the work on an underlying progression from I through $\text{III}^{\text{e}3}$ to V^7 , in the context of which the second pitch in the $\hat{s}-\hat{a}-\hat{s}$ structure enters (whereas in Model NN_2 the subdominant accompanies $\hat{2}$ in a similar neighbour-note motion, with the result a less 'dynamic' I-IV-I progression). The fundamental line's descent occurs in the abbreviated reprise of A, after which the coda has its own structural descent.⁷⁷

As in Op. 10, No. 1, the III³ harmony in section B is preceded by vi, so that at first it functions as \forall/\forall_1 rather than as an independent sonority.⁷⁸ Two linear ascents appear in bars 47-51 and 57-60, the first helping to build tension before \hat{a} 's arrival in 51, and the second preparing for the recapitulation. Parallel chromatic harmonies in these bars recall similar progressions in 36-40 and 43-5 of the middleground, which make the subsidiary five-note and three-note descents in B seem more complex than they actually are.

The work's phrase structure is extremely unusual. At the beginning Chopin shortens the sixteen-bar period anticipated by the listener, accelerating the harmonic rhythm in 9-10 and thus creating a fourteen-bar phrase.⁷⁹ Used virtually throughout the piece, this 8 + 6 unit appears again in the second of A's paired phrases, in B (29-36 + 37-42, and 43-50 + 51-6), and in A'. The first part of the coda also has a fourteen-bar phrase, although Chopin divides it differently - into groups of 4 and 6 + 4 bars (i.e., 75-8 and 79-88) - to accommodate the $(\hat{a}-\hat{a} || \hat{a}-\hat{a})$ structure. Only bars 57-60 and the second part of the coda (89-95) avoid the fourteen-bar scheme.

The lopsided periods resulting from the 8 + 6 units generate momentum, as the music constantly seeks equilibrium. To overcome agogic imbalances caused by irregular phrasing, Chopin judiciously varies the period and registral compass of the roughly symmetrical arches on which much of the virtuosic figuration is based. For instance, in the second part of a_1 , the half-bar shapes that appear in 9 and 10 due to the accelerated harmonic rhythm culminate in an extended four-bar arch in 11-14, which provides a moment of relative stability towards the end of the asymmetrical period. The two-bar descent at the close of a_2 has a similar function, foreshadowing the sweeps through over four octaves in 71-4. These also enhance the sense of closure,

embellishing \hat{z} and propelling the music towards $\hat{1}$ in bar 75, which, by way of contrast, is prepared in 74 by a cessation of the right-hand semiquaver figuration for the first time in the Study.

Section B derives its unstable, almost frenetic character not only from the chromatic harmonies referred to above, but also from the disintegration of A's two-bar and four-bar arch-shaped contours into new motives only four semiquavers long (x' , x_1 and x'_1 - see Example 53b), whose entrance in both hands in 37 abruptly ends the transposition of 1-8 at the start of the new section. Chopin complements the right hand's x and x' motives with their inversions in the left, driving the music on to 47-50, where, in a brief respite from the turbulent contrary motion, the bass imitates the melody from A and the treble climbs in one-bar units towards \hat{z} (bar 51). Two bars of similar motion prepare for the complementary x motives in 53, which lead through V in 55-6 and the highly chromatic 57-60 to the recapitulation, where A's relatively stable patterns are re-established.

As in Op. 10, No. 2, Chopin motivically develops 'extra' material necessitated by the asymmetrical arches in A and A'. Motive y (which is related to figures z , z_1 and z_R) enters in 3 to take up the slack left by the rhythmic displacement of the repeated bar 1, and motives a and b extend one- and two-bar contours from the first parts of a_1 and a_2 into four-bar units ending the two phrases. The distribution of motives varies from section to section: whereas A and A' contain all five, B uses nothing but x and the three figures derived from it (i.e., after 29-36), while the coda develops motives a , b , y and z but lacks x altogether.⁸⁰

Asymmetrical periods are also important in the A-flat major Study Op. 10, No. 10, although unlike the F major Study (where Chopin generates momentum by abbreviating a sixteen-bar unit), here the eight-bar phrases

established in A are *extended* in B and in the recapitulation, thereby creating further energy. Based on a $I-IV-V$ progression and prolongation of \hat{g} throughout most of the work (as in Model 2), the Study has a broad ABA form with a subsidiary three-part structure in the central section, where the background's subdominant and dominant harmonies accompany an arch-shaped ascent and descent (cf. Op. 22's middle section) which linearly connects the head note to the cover tone and then returns to \hat{g} (see Examples 54a and b and the diagram below):

Fundamental line;	g-----g										a	i
Subsidiary lines;	g					a	a	a	g			
	(g a g a i)											
Underlying harmony;	I				IV		V		I			
Phrase;	a ₁	a ₂	a ₁ a ₃		b ₁	b ₂	b ₃	a ₁ '	a ₃ '			
Section;	A				B				A'			

Chopin elaborates this structure with complex harmonic progressions and numerous linear descents within the successive phrases. After the melodically and harmonically closed first section, the music undertakes an extraordinary, thoroughly concealed sequential descent in thirds, leading from I in section A through $\flat VI$ and IV in b_1 (at the end of which \hat{a} enters), and $\flat II$ and $\flat VII$ in b_2 , to V, which, although first stated towards the end of b_2 , is tonicised only with the climactic arrival of \hat{g} on the downbeat of b_3 (i.e., bar 43). Enharmonic notation ($\flat VI$ appears as E major and $\flat II$ as A major), the interrupted transposition of b_1 when \forall/\forall suddenly enters in 39ff., and the varying durations of the third-related harmonies obscure the sequential structure in b_1 and b_2 , not to mention the more profound $I-IV-V$ progression joining A and B in the background.

After the dominant has been reached in 43 and prolonged for several bars, the music climbs from \hat{g} towards the registrally displaced \hat{a} , which,

once stated in 49, is then decorated by means of a 'semitonal descent in all voices'^a reaching $\flat VI$ in 54, followed by the return of the tonic at the start of the abbreviated recapitulation. The middleground bass motion in 43-55 - i.e., E-flat-F-flat-E-flat - imitates the right-hand figure embellishing \hat{e} in 43-5, as well as other neighbour-note motives, the first of which occurs in bar 2: e-flat^a-f^a-e-flat^a (see **Example 54c**).

In A' Chopin delays the fundamental line's descent by moving in 61-2 and 64 to vi (which diatonically 'justifies' the $\flat VI$ harmony prevalent in B), and by reiterating motive z in the treble (63 and 65-7), thus melodically reinterpreting the opposition between vi and $\flat VI$ and at the same time subtly suggesting the neighbour-note motions referred to above. The series of phrase extensions resulting from the moves to vi and the dramatic prolongation of V in 65-8 recalls similar extensions in B. The asymmetrical twelve-bar phrase in b_1 arises from the 2 + 4 + 2 structure in 21-8 (following the four-bar unit in 17-20), while b_2 - which at first appears to be a transposition of b_1 - is further extended to a fourteen-bar phrase (four bars, then 2 + 4 + 4) by the interruption of $\flat VII$ and the sudden move towards V in 39ff. In A' the extensions are even more striking: a_1' is followed not by a complementary four-bar group but, after bars 59-60, by a 3 + 1 + 2 + 2 structure caused by the interrupted cadences, reiterations of motive z, and prolongation of V.

Extension affects not only the phrase structure but also the principal motives. Normally confined to one bar, the linear ascent on which the melody is based (motive w in **Example 54c**) is extended to two bars in 23-4 and 35-6 at the start of the ' \vee/\vee -V-I' progressions tonicising IV and $\flat VII$. The passage towards the end of A' in which motive z's repeated statements delay the structural descent is itself an extension of 41-2, where the motive is used

in preparation for \hat{s} 's arrival in 43. Finally, the melodic neighbour-note figures in 43-4 form a motivic parallelism with the much-extended middle-ground bass motion in b_3 (as mentioned earlier), and the $(\hat{s} \hat{s} \hat{z} \hat{i})$ shapes in the melody imitate the fundamental line (see for instance 2-3 and 7-8).

Chopin also relates foreground motives to underlying structure in the E-flat major Study Op. 10, No. 11, which, based on Model 1, uses a chromatic descent to span A and B, as Example 55 and the diagram below reveal:

Fundamental line;	\hat{s}		$b\hat{s}$	\hat{z}		\hat{s}	\hat{z}	*	\hat{i}
Subsidiary lines;	+	$(\hat{s} \hat{z} * \hat{i})$	+	$(\hat{s} \hat{z} \hat{i})$	+				
Subsection;	a_1		a_1'		b_1		b_2		a_1''
Section;	A				B				A'

* Denotes embellishment of (\hat{z}) and \hat{z} by subsidiary third-progression

+ Signifies three-note ascent to \hat{s} , (\hat{s}) or $b\hat{s}$

The initial ascent from e-flat to the head note g functions motivically throughout the Study, appearing not only with each restatement of the melody in A and A', but also, more remarkably, at the start of B. Here, chromatically embellished, it is accompanied by an ascending sequence⁸² from $\flat VI$ through $\flat VII$ to the tonic minor, in the context of which $b\hat{s}$ enters. The harmonic descent in thirds that follows at middleground and foreground levels - from i through $\flat VI$ to iv - culminates in \hat{z} and V (both of which occur late in the section compared with other works based on Model 1, indicating the effect that Chopin's sensitivity to structural momentum could have on the voice-leading models). V is then prolonged for several bars until a motivically important ascent in 29ff. leads from b-flat to the e-flat with which the abbreviated, varied recapitulation begins in 33. After only seven bars, the reprise is broken off by a chromatic elaboration of \hat{z} , which, despite its apparent complexity, is based on a $V-\flat/V-V$ progression in the bass and the melodic third-progression also found in a_1 . The passage delays and thus

the fundamental line (see **Example 56** and the diagram above).⁸⁴ The comprehensive tonal structure effects virtually seamless connection between the principal sections in what Abraham calls 'Chopin's supreme formal achievement' up to September 1831.⁸⁵ A and B are closely linked, as are B and the second, varied statement of the introduction. Towards the end of the Study, the music moves from A' to the coda without an obvious division (hence Abraham's and Leichtentritt's confusion about where the closing section begins).⁸⁶

After the prolongation of V in the introduction, \hat{a} enters with the start of A. Although at first it appears as if one of two descents - either $(\hat{a}-\hat{a} || \hat{a}-\hat{a})$ or $(\hat{a}-\hat{a} || \hat{a}-\hat{a})$ - could be the basis of A and possibly of the entire work, these are clearly subsidiary to the $\hat{a}-\hat{a} || \hat{a}-\hat{a}$ fundamental structure when the descent to \hat{a} occurs in 25, accompanied by the first inversion of B-flat major (i.e., VII⁶), which is stated in root position at the end of the section.

Both the enharmonically 'disguised' sequence that follows at the foreground level in 29-32, and the ascent in parallel dominant-seventh harmonies in the next few bars prepare for the climactic \hat{a} (a-flat³ in the score) and the subdominant harmony in 37, which, prolonged for four bars, resolve to \hat{a} and the dominant divider with the return of the introduction (at which point the basic $i-iv/V$ progression in the first part of the piece is completed). The reprise of A that follows ends at 65, where, in a dramatic peroration, Chopin leads from \hat{a} through \hat{a} (which, although in the same position within the phrase as bar 25's \hat{a} , is accompanied by a second-inversion G-flat major chord), \hat{a} (in the context of F-flat⁶/4), \hat{a} (III⁶/4) and \hat{a} (V⁶/5) to \hat{a} , whereupon the tonic returns. A Neapolitan sixth accompanies $b\hat{2}$,⁸⁷ and after a

three-note embellishment (at the end of which the diatonic $\hat{2}$ is established - cf. bars 47-50 of Op. 10, No. 6) and the accompanying resolution from bII^6 to V, the descent to $\hat{1}$ occurs in 77, thus bringing to a close the remarkable phrase extension from 65, which is the only deviation from four- and eight-bar patterns in the piece. The coda follows in 77-84. Here iv is stated several times in a subtle reference to 37-40, while the ending in the tonic major summarises an opposition between major and minor harmonies present throughout the Study, arising in part from the replacement of e-flat by e-natural in 17, 57 and 73.

The melody is based on three principal motives (thirds, neighbour-note motions and incomplete-neighbour figures), and the accompaniment on these and a few others, including open and linear fourths, chromatic and diatonic scales, and arpeggios. A subtle parallelism based on the structural $\hat{2}-\hat{2}-\hat{2}$ motion occurs in the left hand in 7, 18, 47, 58 and 75. Motivic use is also made of rhythm, especially the dotted quaver-semiquaver figure announced in bar 2, which appears throughout the work. By extending established patterns (as in 14, where a semibreve - marked *tenuto* and *forzato* - replaces a minim in the rhythmic shape from 11-12, thus generating momentum towards 15), by inserting syncopations (e.g., 25-6), and by altering rhythmic motives at climactic moments (as in 37-8), Chopin controls the pace of *Auskomponierung*, creating what Samson calls, a 'suppressed passion which breaks the surface intermittently with eloquent, urgent gestures'.⁸⁸

Composed in 1832, the C major Study Op. 10, No. 7 has several features in common with earlier works in the opus: sequential activity within the relatively complex middle section, and prolongation of V at the end of the section; an abbreviated, varied reprise; phrase extension highlighting the fundamental line's descent; motivic use of the third-progression embellishing

$\hat{2}$ (not only in A and A' but also throughout b_2); and imitation of the fundamental line in the coda. **Example 57** and the diagram below show the work's Model 1-based structure, in which A and B are joined by a large-scale I-iii-V progression similar to that in bars 7-8:

Fundamental line;	$\hat{3}$					$\hat{2}$ $\hat{3}$		$\hat{2} * \hat{1}$
Subsidiary lines;	($\hat{3} \hat{2} * \hat{1}$)	($\hat{3} \hat{2} \hat{1}$)	($\hat{3} \hat{2} * \hat{1}$)			($\hat{3} \hat{2} * \hat{1}$)		
Underlying harmony;	I			iii (sequence)	V	I	V	I
Phrase;	a	a'	a	a''	b_1	b_2	a	a'''
Section;	A			B		A'		Coda

* Denotes embellishment of ($\hat{2}$) and $\hat{2}$ by subsidiary third-progression

Other linear descents elaborate this structure, such as the ($\hat{3} \hat{2} \hat{1}$) figures in iii at the end of a' and a'', and the ($\hat{3}-\hat{1}$) line leading from b_2 to the recapitulation.

The accompaniment to the ($\hat{3}-\hat{1}$) descent (which is launched after two statements of the embellishing third-progression-motive in 24-5 and 25-6 and a dramatic ascent in parallel $\epsilon/\epsilon s$ in 26-9) is but one of many sequential progressions. Chopin translates the five-note line into the underlying harmony, moving from V through IV, III*³ and II*³ in bars 30-2 to I, which, although first stated in 33, is definitively reached on the downbeat of 34 once the embellishment of ($\hat{2}$) is completed. Other sequences include the circle-of-fifths progression in 16-20 (which elaborates a simpler motion from iii through ii to I), the parallel $\epsilon/\epsilon s$ mentioned above, the ascent by whole- and semitone in 40-2 (which interrupts the reprise and delays the fundamental line's descent in a two-bar phrase extension, recalling b_1 's one-bar extension), and the colourful progressions in 48-9 and 50-1 (which are related to the sequential harmonies at the end of b_2).

The F minor Study Op. 10, No. 9 also has features in common with other works in the opus - for instance, the recapitulation is abbreviated and

varied, with a four-bar phrase extension when the fundamental line descends, after which material from the second section returns in the coda - but its structural idiosyncracies are more remarkable than these shared characteristics. Based on a variation of Model NN₁, with a $\hat{g}-\hat{e}-\hat{g}$ neighbour-note motion⁸⁹ spanning the principal sections (as **Example 58** shows), the work has a sharpened fourth degree b-natural in the fundamental line and a displaced dominant in the bass arpeggiation, such that V is stated only at the end of B and is completely absent at the structural descent (which, like much of the piece, occurs over a pedal on F). Another unusual feature is the gradual way \hat{g} assumes the role of primary melodic tone: appearing first as the cover tone over A's closed ($\hat{g}-\hat{e} \parallel \hat{g}-\hat{f}$) descents (despite the five-note motives in 1-2 *et seq.* which guide the melody towards c²), \hat{g} is established as head note only with the ascent to d-flat² - i.e., \hat{g} - at the beginning of B, where, after seventeen bars, the pedal on F gives way to the motivically important bass descent through a seventh and the progression from I through VI and (ii⁷) to the displaced structural dominant, which is reached in the climactic bar 29. The force with which the melody resolves from d-flat to c and then prolongs c until the reprise dispels any doubt that \hat{g} is the primary melodic tone. At the same time, repetition of the d-flat-c resolution in B's eight-bar 'coda'⁹⁰ alludes to the $\hat{g}-\hat{e}-\hat{g}$ motivic parallelism heard in the melody and accompaniment throughout A and A', and in the left-hand part during the 'real' coda (57ff.). The first appearance of this motivic neighbour-note motion (bar 2) forms part of an even more striking parallelism articulated by the first seven notes of the right hand (i.e., 1 2 3 4 5-6-5).

Chopin generates excitement by extending the five-note motive into wider linear spans, both towards the middle of B and, more emphatically, during the 'apotheosis'-like extension at the end of A', where in 49-50 and 51-2

the line is stretched into seven notes (thus recalling the bass descent through a seventh in 17-25) and then, in 52-6, into almost two octaves. The rhythmic '*crescendos*' accompanying the linear extensions in B and A' - i.e., from two-quaver groups into figures with seven or more notes - further propel the music towards the climaxes in 28 and 56. Whereas B's 'coda' has a forceful resolution from the structural \hat{e} d-flat to c (as discussed earlier), its counterpart at the end of the work starts with a *sotto voce* descent from \hat{e} to \hat{f} . Not until the *forte* and *fortissimo* in 61 and 63 is the g-f motion given similar emphasis: this helps to maintain momentum until the imitative (\hat{e} - \hat{f}) line is completed in 65-6.

[illegible]

Commenting on the Study's structural complexity, Samson writes that

tonal attraction is weak in such progressions. But care is needed in their interpretation. Even on a foreground bar-by-bar level the harmony is still perceived as directional and it shares some important characteristics with diatonic progressions, notably semitonal connection and a tendency for chord successions to exhibit a 'complementary' pitch content. Moreover the speed of the progressions - fast enough to blur individual impacts - and the effects of rhythm and accentuation influence the span-of-context within which we evaluate tonality-defining elements in the harmony.³²

Given the suppression of diatonicism and the emphasis on the 'total chromatic' in B, it is not immediately apparent how Chopin ensures the section's tonal comprehensibility, although on closer inspection, the composing-out from the Model 1-derived background to the complicated foreground seems entirely logical. Within the background, the closed ($\hat{G}-\hat{E} \parallel \hat{G}-\hat{F}$) descent in A (which imitates the fundamental line) is followed by \hat{E} in bar 23, which is prolonged by a descent through e to d-sharp spanning the next twenty bars. A subsidiary ($\hat{G}-\hat{F}$) structure in V accompanies the three-note embellishment of f-sharp, its first pitch - d-sharp² (bar 34) - reached after a stepwise ascent from bar 23's \hat{E} . Chopin prolongs the subsidiary descent's final pitch - b, which functions as cover tone (\hat{G}) in the middleground and foreground - by means of an octave-progression extending from 46 to 54. Shortly afterwards, the recapitulation begins: although abbreviated relative to the whole of A, this contains a four-bar extension transforming the twelve-bar a_2 into the more symmetrical, sixteen-bar a_2' , which highlights the fundamental line's descent in the final bars of the piece.

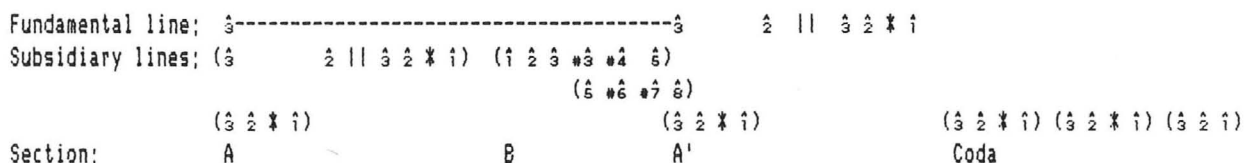
At the middleground level, A's structure is elaborated with an initial ascent, a cover tone (\hat{G}), two subsidiary ($\hat{G}-\hat{F}$) descents and a melodic reinterpretation of the arpeggiation and three-note ascent to (\hat{G}) in 14-17 (both of which appear in an inner voice in the background). The octave-progression that follows imitates the background's prolongation of (\hat{G}) in b_4 , also foreshadowing the motivically related descents through a seventh preceding \hat{E} (bar

23) and the second pitch - g-sharp¹ - in the ascent to d-sharp² at the start of B. The submediant accompanies g-sharp¹ in a sequential imitation of the $\vee/\vee \rightarrow V$ progression in 22-3, which ends when the melody ascends through a¹ and b¹ to reach c-sharp² in bar 30, in the context of IV. Another sequence takes the melodic ascent to its goal, d-sharp², which arrives with V at the end of the motivically important 'changing-note' progression extending through 23-34. The diminished harmony on the downbeat of 38 interrupts the sequence, launching a succession of parallel diminished chords and stepwise motion through a fourth in the bass (cf. the background) which accompany two structural descents in the treble over the next four bars. Once these have been completed, a triadic arpeggiation from b¹ to b² prepares for the octave descent prolonging the cover tone, which, like the descents in 38ff., is now harmonised by parallel diminished chords, reaching $ii^{4/2}$ in 53 and then V in 54. In the following bars, two motivic statements of $\hat{2}$'s three-note embellishment lead to the reprise. Anticipation of the resolution to I in bar 73 means that V is absent at the fundamental line's descent.

Chopin derives the foreground from middleground figuration (e.g., stepwise ascents and descents through a third, reaching-over and reaching-under shapes, and neighbour-note and changing-note figures) to create the Study's 'motive-generated melodies'.⁹³ The harmony is enriched with sequences (as in a_2 and a_2' , where the downbeats of 17 and 70 are axes of symmetry for a palindromic sequential progression) and additional parallel diminished chords in b_3 and b_4 to embellish the already complex middleground structure.⁹⁴ In the piece itself, registral displacement and inversion of some of the diminished chords in 38-41 and further elaboration of the octave descent in 46ff. make the structure of the two passages seem obscure, as if the music lacked a tonal basis altogether. Chopin overcomes this by establishing a regular

phrase structure in B (four eight-bar units plus eight bars in the 'coda') to provide a stable framework for the chromatic harmony; furthermore, and more importantly, the stress attached to V throughout B - particularly at the climaxes in 42-6 and on the downbeat of 54 - ensures that it is perceived as the harmonic foundation.

Similar references to the dominant stabilise the otherwise harmonically discursive, highly chromatic middle section of the C-sharp minor Study Op. 10, No. 4, which was written shortly before the E major Study in August 1832. Based on a background-level prolongation of $\hat{3}$ (see Example 60 and the diagram below), the C-sharp minor Study has two closed structures in A, followed by a pair of linear ascents in B, one of which reaches the cover tone $\hat{5}$ and the dominant at bar 45's climax. The assurance with which the background



\ast Denotes embellishment of $\hat{2}$ and ($\hat{2}$) by subsidiary third-progression

ascent progresses towards these goals instils in B a sense of direction which would otherwise be lacking, given the 'improvisatory' succession of ideas in the foreground. By sharpening the third and fourth degrees of the ascent to $\hat{5}$, Chopin makes the underlying harmonic motion even more 'dynamic'.⁹⁵ The dramatic four-bar extension in the recapitulation emphasises the fundamental line's embellished descent, after which the coda motivically restates the fundamental structure, twice with the three-note embellishment figure of motivic importance in the outer sections.

As in Op. 10, No. 3, Chopin elaborates B's background structure with parallel seventh chords, in this case both diminished and dominant sevenths.

The middleground progression that results is anything but diatonic, eschewing conventional tonal procedures even more markedly than the E major Study (which is ironic, given the greater harmonic stability from beat to beat relative to the 'totally chromatic' middle section of Op. 10, No. 3). From $\sqrt[7]{\vee}$ at the start of B, the music moves through the enharmonically respelt E-sharp⁷ (F⁷ in the score) to F-sharp⁷, which, along with B major, helps to tonicise e minor (29ff). A chain of diminished sevenths follows, propelling the upper structural ascent towards its goal, ($\hat{6}$), and launching the lower one with the G-sharp-A-sharp motion in the bass, which also forms part of a neighbour-note progression arriving at V in the climactic bar 45 after an extension of the basic four-bar phrase unit (thus foreshadowing the even more dramatic extension accompanying the fundamental line's descent in A'). Chopin prolongs V until the lower ascent reaches ($\hat{6}$) on the downbeat of the reprise, accompanied by a motivically imitative stepwise motion from g-sharp² to c-sharp². This is the first strong cadence since the end of A.

Various foreground motives arise from the composing-out of the middle-ground. Chopin builds much of the piece from changing-note and neighbour-note motions, extending or contracting them to generate momentum,⁹⁶ and motivically developing contour as well as similar or contrary motion, which he varies to maximum effect. The five-note line announced on the upbeat to bar 1⁹⁷ appears in numerous contexts as a foreground parallelism to the middle-ground and background ascent from ($\hat{1}$) to ($\hat{6}$) in B. Other motives include linear thirds (which are derived from the fundamental line - e.g., bar 4), arpeggios, scales, and voice-exchanges between the two hands.

* * * * *

The highly chromatic realisation of middle-ground and background structures in the E major and C-sharp minor Studies indicates the degree to which

Chopin's 'structural style' had evolved by the time these works were written in 1832. By learning how to establish 'dynamic' cadential progressions and goal-directed linear ascents and descents at remote levels of structure, and how to relate structure to embellishment, Chopin had acquired the 'improvisatory long-range vision' to create complex music within the foreground, music which at first seems to defy tonality but which nevertheless possesses innate 'logic' apparent only on closer inspection. The composer's increasing reliance on voice-leading structures derived from the dance genres and his assimilation of features from the *stile brillante* (notably the means by which closure is achieved) into less virtuosic repertoire eventually led to a single 'structural style', which would influence works - even extended ones - in all genres from the early 1830s until some ten years later. It was at this point that Chopin revised his approach to composition, although, as Part III will show, his 'improvisatory' structural technique was not substantially modified, only refined.

F. Summary

Tables 4 and 5 (pp. 199-204 and 205-6) summarise the analyses in Chapter 2. As in Tables 2 and 3, works are grouped by structural model and genre. Table 4 also lists each composition's salient features.

The important changes in Chopin's 'structural style' that occurred with the composer's arrival in Vienna and later establishment in Paris have been discussed in this chapter. Among the most significant of these is his greater sensitivity to 'structural momentum'. Goal-directed harmonic progressions at the background level replace the closed, symmetrical structures used during the Warsaw period, investing the music with a more 'dynamic' character and uniting sections into a single span working towards long-range resolution through V to I. These 'dynamic' progressions appear in all genres (indicating that Chopin's 'structural style' transcended generic boundaries) and are enhanced by an innovative approach to recapitulation and closure. Derived from the *stile brillante*, this allowed greater structural emphasis to be given to the fundamental line's descent. Deviations in phrase structure contribute to the sense of closure: extensions or contractions occur at the most important structural point, usually within an abbreviated reprise highlighting the descent all the more. Other recurrent features enhancing closure include the embellishment of $\hat{2}$ and the 'changing-note' progression typically accompanying it.

More complex tonal structures appear in this repertoire: chromatic alterations in the fundamental line and displaced dominant harmonies in the bass arpeggiation become standard features. Chopin motivically exploits structure, withholding or anticipating pitches in the linear descent to maxi-

mise momentum, and establishing harmonic and melodic oppositions by delaying the fundamental line's 'correct' resolution. In the middle sections of many works, linear progressions are elaborately prolonged, showing considerable 'improvisatory long-range vision' in chromatic passages like those in Op. 10, Nos. 3 and 4.

The voice-leading models from Chapter 1 remain characteristic of Chopin's 'structural style', but variations occur, such as new harmonisations in the neighbour-note models and extensions into more comprehensive spans like the 'freer division form' in Op. 34, No. 2. Diminution and 'organic' replication replace interpolation as the principal means of composing-out: sequences thus take on structural functions, no longer relegated to the role of harmonic filler.

Often Chopin 'disguises' structure by elision, harmonic reinterpretation and enharmonic elaboration, as if to create 'rational deceptions'. This occurs in some of the mazurkas of the Vienna and early Paris periods, which are marked by the structural assimilation of folkloristic materials which was also characteristic of earlier essays in the genre. Lydian fourths, structural neighbour-note motions, recurrent melodic patterns and $i-III-V$ progressions frequently appear, as do more concerted attempts to enhance closure by means of varied recapitulation. 'Disguised' chromatic sequences and harmonic progressions, and considerable formal flexibility indicate Chopin's 'improvisatory' approach to the genre, which could well derive from the actual improvisatory origins of earlier mazurkas.

Although the Rondo Op. 16 reveals that the 'public' improvisation tradition continued to influence Chopin into the 1830s, another virtuosic work - Op. 22 - closely follows the voice-leading model on which the piece is based, demonstrating the structural role now given to sequences. This is also

apparent in Op. 18, where the background's circle-of-fifths progression overcomes a sense of concatenation in the foreground. The A minor Waltz Op. 34, No. 2 is even more tightly structured: although a sectionalised conception is evident in the autograph manuscript, the underlying interruption form shows how highly developed Chopin's 'structural style' had become by the early part of the decade.

Despite their different generic functions, the nocturnes and studies of the Vienna and early Paris periods are similar in structure, characterised by abbreviated reprises, phrase extensions to emphasise the fundamental line's descent, an increasingly 'organic' conception, and the use of 'dynamic' harmonic progressions to unite sections and to maximise structural momentum in the 'sweep of improvisation' described by Schenker. Numerous 'deceptions' appear in this repertoire, particularly Op. 10, where harmonic reinterpretations, enharmonic elaborations and complex tonality-defying prolongations mask underlying structure.

* * * * *

To conclude this study of the early works, a few remarks follow on the relation between improvisation and the evolution of Chopin's 'structural style'. Despite the many innovations in his music (particularly with regard to harmony), Chopin's use of *rubato*, ornamentation and phrasing; affinity for the works of J.S. Bach and Mozart; and dismissal of most contemporary music (not to mention his abhorrence of exaggeration in performance, which caused him to reject the career of virtuoso pianist) show that his musical sensibilities belonged more to the eighteenth century than to the Romantic era. It is hardly surprising therefore that his mature works are based to a considerable extent on structural principles established in the 1700s, among them the principles of improvisation set out by C.P.E. Bach. The 'formal' conception

characteristic of Chopin's early *stile brillante* music (and of 'public' improvisation in general) was gradually replaced by a more organic compositional technique fostered in the early dance pieces, many of which owed their origins to a 'private' tradition of improvisation which had more in common with improvisation as practised by Bach than its 'public' counterpart. As Chopin's 'structural style' evolved, tonal structure - as opposed to formal design - became the fundamental source of compositional unity, indicating an atavistic reliance on eighteenth-century practices rather than the 'public' tradition that had influenced him as a young composer. Even Chopin's most improvisatory work - the *Polonaise-Fantasy* Op. 61, which at first glance challenges Schenker's notion of improvisation even more profoundly than the early *stile brillante* pieces - is dependent on these eighteenth-century principles, as we shall see in Part III.

TABLE 4a
COMPOSITIONS FROM 1830-2 BASED ON MODEL 1

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
<i>Grande Polonaise</i> Op. 22	1830-1	41	middle section not standard CDC Trio, but 'through-composed', based on symmetrical sequential model; momentum generated by harmonic rhythm's foreground asymmetry; motivic links between sections
F-sharp major Nocturne Op. 15, No. 2	1830-2	48	subsidiary Model 1 in A; unusual ascent to cover tone in B, with V-III ³ -V accompaniment; fundamental line's descent highlighted by sudden surge of momentum and phrase extension within abbreviated reprise
G-flat major Study Op. 10, No. 5	1830	51	abbreviated reprise with phrase extension at fundamental line's descent; embellishment of $\hat{2}$; complex middle section, with converging ascent and descent; motivic use of contour
E-flat minor Study Op. 10, No. 6	1830	52	variation of model: $\hat{2}-\hat{2} \parallel \hat{2}-\hat{1}$, with $\hat{2}-\hat{2}-\hat{2}$ neighbour-note motion decorating $\hat{2}$, harmonised by 'motivically' important $\flat II$; ascent to $\hat{2}$, followed by 'changing-note' progression
E-flat major Study Op. 10, No. 11	1830-2	55	chromatic descent in first part of fundamental line; initial ascent as motive, accompanied by sequence in B; delay and extension when fundamental line descends; numerous parallelisms
C minor Study Op. 10, No. 12	1831	56	'supreme formal achievement', with comprehensive $\hat{2}-\hat{2} \parallel \hat{2}-\hat{1}$ structure; principal structural pitches harmonically highlighted; embellished $\flat \hat{2}$
E-flat major Waltz Op. 18	1831-2	42	chromatically altered $\hat{2}-\hat{2} \parallel \hat{2}-\hat{1}$ fundamental line, harmonised by circle-of-fifths sequence; formal innovations; sectional divisions overcome by sequential structure and motivic and harmonic references
C major Study Op. 10, No. 7	1832	57	sequences in complex middle section; prolongation of V at end of B; abbreviated, varied reprise; phrase extension when fundamental line descends; embellishment of $\hat{2}$

TABLE 4a
COMPOSITIONS FROM 1830-2 BASED ON MODEL 1
(continued)

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
E major Study Op. 10, No. 3	1832	59	highly chromatic B section prolongs 2 and cover tone (6); diatonicism 'suppressed' in 'improvisatory' elaboration; extension of 12-bar phrase to 16 bars in otherwise abbreviated recapitulation; displaced V in bass arpeggiation
A minor Waltz Op. 34, No. 2	1835?	43	'freer division form' spans constituent sections, demonstrating sophistication of Chopin's 'improvisatory long-range vision'; refrain assumes different structural functions; V sought throughout but withheld until end, arriving with most expressive music in piece

TABLE 4b
COMPOSITIONS FROM 1830-2 BASED ON MODEL 2

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
F-sharp minor Mazurka Op. 6, No. 1	1830	33	melodic and voice-leading structures possibly derived from folk mazurka; structure of chromatic sequence 'disguised' by elisions
E-flat minor Mazurka Op. 6, No. 4	1830	34	contrapuntal texture yields complex voice-leading; sketch shows Chopin's attention to sequence in B and counterpoint in A
C major Study Op. 10, No. 1	1830	49	melodic opposition between closed turning figures and linear descents generates underlying momentum; III* ³ given 'autonomous' function at two structural levels; sequences used structurally, with acceleration in harmonic rhythm to heighten forward energy
A minor Study Op. 10, No. 2	1830	50	'dynamic' background-level i-IV* ³ -V progression prolonged by ascending sequence and 'deceptive' reinterpretation of subdominant as V/viib3; linear ascent in B supported by sequence; abbreviated reprise; c-sharp/c-natural clash; motivic treatment maximises momentum
C major Mazurka Op. 7, No. 5	1830-1	36	hypothetical structure, due to <i>senza Fine</i> marking; A & B have similar structures; cover tone; second scale degree stressed; dynamics & accents emphasise structural pitches
C-sharp minor Mazurka Op. 6, No. 2	1831-2	38	'improvisatory' formal flexibility; subsidiary Model 1 joins A & B; i-III-V progression in Trio, with incomplete structural descent; A's final statement has variations in rhythm, dynamics & ornamentation, also <i>rubato</i> and <i>con forza</i>
F minor Mazurka Op. 7, No. 3	1831	39	varied recapitulation with phrase extension exploiting structural appoggiatura motives; underlying octave-progression and 'dynamic' i-III-V motion span numerous sections; subsidiary Model 1 in A
B-flat minor Nocturne Op. 9, No. 1	1830-2	44	i-III-i structure; ♭2 in all sections, preventing fundamental line's 'correct' resolution; motivic use of ♭2; phrase extensions generate momentum; abbreviated reprise

TABLE 4b
COMPOSITIONS FROM 1830-2 BASED ON MODEL 2
(continued)

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
E-flat major Nocturne Op. 9, No. 2	1830-2	45	regular phrase structure varied near end in dramatic preparation for fundamental line's descent; successive Model 1-derived structures in 1st part; C sections not 'coda' but main goal of piece; structural similarities between A & C; cadenza
A-flat major Study Op. 10, No. 10	1830-2	54	ascent and descent in middle section, with asymmetrical periods created by extensions; subsidiary Model 1 in A; arch-shaped ascent and descent in B connects head note and cover tone; concealed sequential descent in thirds harmonises linear arch; extension when fundamental line descends
C-sharp minor Study Op. 10, No. 4	1832	60	prolonged $\hat{3}$ over subsidiary Model 1 in A and harmonically discursive, chromatic middle section based on two linear ascents; dramatic four-bar extension in reprise; motivic restatements in coda

TABLE 4c
COMPOSITIONS FROM 1830-2 BASED ON 'NEIGHBOUR-NOTE' MODELS

MODEL NN₁

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
Rondo Op. 16	1829-32	40	tonal structure like Op. 5's, possibly indicating influence of dance genres on 'brilliant' repertoire; large-scale vi-V-I progression (cf. Op. 49) joins 'improvisatory' introduction to Rondo; 'final' cadence highlighted; despite all-embracing 'improvisatory' structure modulatory transitions remain independent
F minor Study Op. 10, No. 9	1832	58	abbreviated, varied recapitulation; phrase extension at fundamental line's descent; ♯2 in fundamental line; displaced V in bass arpeggiation; bass descent through seventh overcomes pedal on F; motivic extensions

MODEL NN₂

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
E major Mazurka Op. 6, No. 3	1830	35	refrain-like passage, in various keys; structural appoggiaturas join sections; complex, 'improvisatory' chromatic progression over motivic octave descent in bass; 'coda'-like extension varies A's recapitulation, causes closure
A-flat major Mazurka Op. 7, No. 4	1831-2	37	unusual progression through ^b II and V ^{6/5} at end of Trio; structure disguised in section B; last statement of A varied by rests and fermatas at descent of fundamental line
F major Study Op. 10, No. 8	1830-2	53	underlying I-III ^{♯3} -V progression (cf. Op. 10, No. 1); linear ascents in B; unusual phrase structure; imbalanced phrases create momentum; abbreviated reprise; extended two-part coda with (♯-♯ II ♯-♯) structure in first part

TABLE 4c
COMPOSITIONS FROM 1830-2 BASED ON 'NEIGHBOUR-NOTE' MODELS
(continued)

MODEL NN₃

<u>Piece</u>	<u>Working Date</u>	<u>Example</u>	<u>Salient Features</u>
B major Nocturne Op. 9, No. 3	1830-2	46	model varied to 3-63-43; extended embellishment of 2, cadential extension and cadenza create 'apotheosis' within varied, abbreviated reprise
F major Nocturne Op. 15, No. 1	1830-2	47	recapitulation almost exact; complex prolongation of I-iii progression, disguised in 'improvisatory' manner using circle-of-fifths sequence and octave descent in bass; fundamental line's frustrated attempts to reach i

TABLE 5
STRUCTURAL MODELS IN COMPOSITIONS FROM 1830-2,
ACCORDING TO GENRE

MAZURKAS

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
F-sharp minor Mazurka Op. 6, No. 1	2	1830	33
E-flat minor Mazurka Op. 6, No. 4	2	1830	34
E major Mazurka Op. 6, No. 3	NN ₂	1830	35
C major Mazurka Op. 7, No. 5	2	1830-1	36
A-flat major Mazurka Op. 7, No. 4	NN ₂	1831-2	37
C-sharp minor Mazurka Op. 6, No. 2	2	1831-2	38
F minor Mazurka Op. 7, No. 3	2	1831	39

WALTZES

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
E-flat major Waltz Op. 18	1	1831-2	42
A minor Waltz Op. 34, No. 2	1	1835?	43

POLONAISES

(cf. *Stile Brillante*)

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
<i>Grande Polonaise</i> Op. 22	1	1830-1	41

STILE BRILLANTE

(cf. *Polonaises*)

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
Rondo Op. 16	NN ₁	1829-32	40
<i>Grande Polonaise</i> Op. 22	1	1830-1	41

TABLE 5
STRUCTURAL MODELS IN COMPOSITIONS FROM 1830-2,
ACCORDING TO GENRE
(continued)

NOCTURNES

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
B-flat minor Nocturne Op. 9, No. 1	2	1830-2	44
E-flat major Nocturne Op. 9, No. 2	2	1830-2	45
B major Nocturne Op. 9, No. 3	NN ₃	1830-2	46
F major Nocturne Op. 15, No. 1	NN ₃	1830-2	47
F-sharp major Nocturne Op. 15, No. 2	1	1830-2	48

STUDIES

<u>Piece</u>	<u>Model</u>	<u>Working Date</u>	<u>Example</u>
C major Study Op. 10, No. 1	2	1830	49
A minor Study Op. 10, No. 2	2	1830	50
G-flat major Study Op. 10, No. 5	1	1830	51
E-flat minor Study Op. 10, No. 6	1	1830	52
F major Study Op. 10, No. 8	NN ₂	1830-2	53
A-flat major Study Op. 10, No. 10	2	1830-2	54
E-flat major Study Op. 10, No. 11	1	1830-2	55
C minor Study Op. 10, No. 12	1	1831	56
C major Study Op. 10, No. 7	1	1832	57
F minor Study Op. 10, No. 9	NN ₁	1832	58
E major Study Op. 10, No. 3	1	1832	59
C-sharp minor Study Op. 10, No. 4	2	1832	60

NOTES TO PART II, CHAPTER 2

¹ 1985: 12-13.

² See Eigeldinger 1986: 124-5, note 108 regarding the provenance of this title.

³ Samson writes (1985: 12) that in Vienna Chopin worked on 'lighter "salon" pieces such as the *Valse Brillante*, Op. 18', although in his chronology on page 235, he gives 1833 as the date of composition. Jeffrey Kallberg has determined that Chopin used Parisian paper for the autograph manuscript (KK 238 in Kobylańska 1977), so it is unlikely that Op. 18 was completed before late 1831 or early 1832.

⁴ The date given to the A minor Waltz by Samson, Ekier, Brown and others is based on a fragment from the album of Countess Karoline Franziska Dorothea Buol-Schauenstein, identified in her hand as a 'Valse de Chopin (Wien 1831)'. Written in pencil, the fragment consists of a cadential figure used in bars 15-16 of Op. 34, No. 2.

Kallberg suspects that Buol-Schauenstein incorrectly dated the excerpt and that the Waltz was composed not in 1831 but in 1835, along with the other two pieces in Op. 34. This later date would explain the sophistication of the work's tonal structure.

For discussion of the sources for Op. 34, No. 2, see Silvain Guignard, *Frédéric Chopins Walzer: Eine text- und stilkritische Studie* (Baden-Baden: Valentin Koerner, 1986). On page 53 Guignard transcribes the Buol-Schauenstein fragment.

⁵ See §§28 and 110-11 of *Der freie Satz*, where Schenker discusses the formal implications of progressions such as these.

⁶ See Cone 1968, *passim*; also Rothstein 1988 (especially pp. 130ff., where 'phrase expansion' is discussed). The expressive effects of extensions such as these are addressed in Schachter 1980: 204-6.

⁷ See Abraham 1939: 45-8 and Kallberg 1988b: 21 regarding abbreviated reprises.

⁸ These include the A-flat major and G-sharp minor Polonaises; also the Trio of Op. 71, No. 2. Cf. §118 and Figures 34^a, 34^b and 76² in *Der freie Satz*.

⁹ This occurs for instance in Op. 10, Nos. 3 and 9. Cf. Figure 75 in *Der freie Satz* regarding Op. 41, No. 11.

¹⁰ As noted in Part I, Chapter 1, only the *Schweizerbub* and *Là ci darem* Variations, B-flat major Polonaise, *Fantasy on Polish Airs* Op. 13, and B-flat major Mazurka have tonal structures different from the three voice-leading models. As for chromatic alterations in the fundamental line, structural descents through \flat_2 are found in Op. 7, No. 2 and the Trio of Op. 71, No. 2.

¹¹ Strictly speaking, this should be $\hat{a}-\hat{s} \parallel \hat{a}-\hat{i}$: see §§101 and 217, and Figures 27 and 76⁴ in *Der freie Satz*. In Op. 10, No. 12, however, the repetition of the introduction and section A has such a profound structural effect that I have treated it as an 'unorthodox' $\hat{a}-\hat{s} \parallel \hat{a}-\hat{i}$ descent.

¹² 1985: 64.

¹³ Ibid., 110.

¹⁴ Cf. the G major and B-flat major Mazurkas from 1825-6, and Op. 68, Nos. 1-3.

¹⁵ See Kallberg 1988b: 16-20 regarding Chopin's formal flexibility in these works (as demonstrated in the autograph sources), the implications of his variants in Op. 7, No. 2, and his use of codas and codettas.

¹⁶ Kallberg (1988b: 16-17) discusses the arbitrary endings and 'paratactic' structures in some of these mazurkas, from which he concludes (page 22) that '... given the inherent formal ambiguity in op. 7, the printed versions here cannot really exert any authority over the various manuscript versions'. (See Part II - Introduction, note 3.) For this reason, reference is made to autograph sources when relevant.

¹⁷ 1949: 37. For more general discussion of the influence of Polish folk music on Chopin, see Windakiewiczowa 1926 and Paschałow 1951.

¹⁸ 1939: 88.

¹⁹ 1985: 112.

²⁰ In Example 362 of *Structural Hearing*, Salzer graphs the passage as a 7-6 descending sequence prolonged by chromatic harmony. Although this interpretation differs from the one here, Salzer's remarks (i,174) nevertheless apply to both analyses, particularly his reference to 'the importance of the contrapuntal element in chromatic passages'. These comments suggest a more profound structure than the 'semitonal descent' described by Samson.

Leichtentritt's analysis of the passage (1921: i,203-4) is closer to Example 33c than to Salzer's graph, outlining a descent from 'C-sharp major' through 'B major', 'A major' and 'G major' to 'F-sharp minor'. Cf. Parks 1976: 192 and 194.

²¹ 1939: 50.

²² Miketta (1949: 58) rewrites the work in six parts: S A A T T B.

²³ Note Schenker's comments on the 'freest form of interruption' in §217 of *Der freie Satz*; cf. Figures 89⁴ and 91.

²⁴ 'Kurz und einfach im Bau.... Ein köstliches primitives Stückchen und doch eine Charakterstudie.' 1921: i,208.

²⁵ See Nowik 1971: 70ff. for a transcription of the sketch; also, J. A. Kriemle, *Fryderyk Chopin. Zarys życia i twórczości* (Moscow: Państwowe Muzyczne Wydawnictwo, 1949), 254.

4 Takte Einleitung, darauf eine achttaktige C-dur-Phrase, dieselbe Phrase in G-dur wiederholt, dann *ad libitum* Wiederholungen 'senza Fine', Ein Drehen und Wirbeln bis zur Erschöpfung. (1921; i,214)

Cf. Kallberg's comments on the Mazurka's arbitrary ending (1988b: 16, note 22).

²⁷ See Part II, Chapter 1, note 25. Kallberg 1988b: 10 discusses the differences in form between the two versions.

²⁸ In the middleground and foreground, the f-flat² in bars 33ff. connects section C's 'head note', f², to A's cover tone, e-flat².

²⁹

In Teil b (Takt 9 und ff.) ein merkwürdiges, echt Chopin'sches Schweben zwischen den Tonarten C-dur, c-moll, F-moll. (1921; i,213)

³⁰ A photograph of the Nydahl manuscript (in the Stiftelsen Musikkulturens Främjane, Stockholm) appears in Kobylańska 1977: ii,18-19. Henle reproduces this version of the Mazurka (pp. 8-9) as well as the standard one based on the French first edition. A sketch of the work (held by the Adam Mickiewicz Museum in Paris) can be seen in photographic facsimile in *Complete Works*: x,4. See Kallberg 1988b: 7-8, 16-17 regarding these sources.

³¹ Cf. Schenker's comments (1925: 148-9) on the structure of Op. 10, No. 6.

³² 1966: 79. Hamburger attributes this expression to Arthur Hedley (see Hedley 1963: 164).

³³ Compare this passage to the endings of the E major Study Op. 10, No. 3 and the F minor Study Op. 10, No. 9, where the dominant is also absent at the descent of the fundamental line.

³⁴ See Samson 1985: 36. Kallberg suggests that 1832 was the date of composition, indicating that long periods of gestation were not characteristic of Chopin. On stylistic grounds, however, Samson's date of 1829-32 seems more plausible. (See note 38.) The autograph of the work has been lost and cannot resolve uncertainty.

³⁵ Samson 1985: 36.

³⁶ Op. 16 is the first of several compositions by Chopin to start in the 'submediant' (i.e., the relative minor) and end in the 'tonic'. Cf. the Scherzo Op. 31 (which begins in B-flat minor and closes in D-flat major) and the Fantasy Op. 49 (which moves from F minor to A-flat major). The Ballade Op. 38 slightly alters the pattern, starting in F major (VI) and finishing in A minor (i). At one point in the genesis of the *Polonaise-Fantasy* Op. 61, Chopin apparently contemplated a vi-V-I structure in A-flat major. (See Part III, Section B.)

The Bolero Op. 19 begins in C major but ends in A major. Note also Op. 30, No. 2, which Schenker analyses in *Der freie Satz* (Figure 152⁷ and

§307), commenting: 'A fundamental line and V³-I in the bass are also lacking here; the uncertainty which arises about the tonality ... almost prevents us from calling this Mazurka a completed composition.' (1979: 131; 1956: 201).

See Kinderman 1988 for discussion of 'directional tonality' in Chopin; also, Schachter 1988 regarding Op. 49. Note in particular the similarity between the background graphs in Example 40a and Schachter's Example 2a, page 226, where the structure of Op. 49 is represented as an extended vi-V-I cadence.

³⁷ Cf. the embedded interpolations in Op. 13 and the G-flat major Polonaise.

³⁸ The similarity between the episodes in Op. 16 and those in other *stile brillante* works suggests that the Rondo dates from before the stylistic experimentation that took place with the Op. 10 Studies and Op. 9 and Op. 15 Nocturnes. It is only in the introduction - probably written after Chopin's arrival in Paris - that the composer's mature style is in evidence, although, as Samson writes (1985: 36), '... even here Chopin was meeting the expectations of a *brillante rondo*'.

³⁹ Compare the linear arch in the middle section with the similar shape in bars 19-32 of Schenker's graph of Op. 10, No. 2 (Fig. 42' in *Der freie Satz*). In both cases, an ascent from an inner voice reaches a neighbour-note registral peak, followed by a descent through pitches belonging to the fundamental structure.

⁴⁰ Note the similarity between the orchestral response in bars 75-6, and bar 12 of the E-flat major Nocturne Op. 9, No. 2.

⁴¹ 1966: 89.

⁴² 1985: 123. He neglects however to mention the underlying sequential progression.

⁴³ The first section in the ABAB group (i.e., bars 5-20) is played twice.

The repeat of the B section represents a significant change in the form typical of Chopin's earlier waltzes, most of which have symmetrical first parts, i.e., ABA (with the exception of Op. 70, No. 3, although its first group - AABB - is harmonically closed, like the ABA structures of the other waltzes).

Three manuscripts of Op. 18 exist, each different in numerous respects from the others. The autograph held by the Musée de Mariemont in Belgium (i.e., KK 238) was used by Schlesinger as a *Stichvorlage* and of the three is the most complete, representing the finished version of the work. Vicomte Paul de la Panouse owns a second autograph manuscript (KK 237) found in 1967 at the Château de Thoiry near Paris. The third (KK 239a, held at the Yale University Library) is of doubtful authenticity. (See Kobylańska 1977: i, 112.) It is possible that the Thoiry and Yale manuscripts represent earlier versions of Op. 18, as Ewald Zimmermann suggests in the Henle *Kritischer Bericht*. In both manuscripts, the form of the work - especially at the recapitulation of the opening material - is significantly different from that of the published version:

Thoiry ms.

Bar: 1-4 5-20 21-35,68 69-84 85-116+ 117-32 133-64 165-72 181-8
Section: Intro §1; A; 1^F B 1; C; 1 D C D' 1; E; 1 F E 1; G; 1 Trans DS al fine

Yale ms.

Bar: 1-4 5-20 21-8 37-52 53-68 69-84 85-100 101-16 117-32 133-64 165-80 181-8
Section: Intro §1; A; 1 1; B; 1 A^F B C D C 1; E; 1 1; F E; 1 G Trans DS al fine

Key: + = Eight-bar transition from D' to E, which develops material from D

^F = Fine

§ = 'Segno'

Trans = Transition

Bar numbers refer to those in the published version.

The *Dal segno al fine* after the transition in both versions means that the reprise of the opening material is literal, whereas in the Waltz as published, changes occur within the recapitulation, notably the 'calculated break in continuity' at the fundamental line's descent, and the extended coda that follows.

Photographs and transcriptions of the Thoiry and Yale manuscripts can be seen in *Chopin/Janis The Most Dramatic Musical Discovery of the Age*, ed. Byron Janis ([New York]: Envolv Books, 1978).

⁴⁴ Now held in a private Paris collection, this manuscript (which apparently was used as a *Stichvorlage* by Schlesinger) was written out in an order very different from that of the published version, and is filled with symbols to denote the repetition of certain sections (for instance, the sixteen-bar introduction) and the insertion of others (e.g., bars 169-88). The plan used is A B C D₁ D₂ * A * (cf. Example 43), where the first X calls for the repeat of B, C, D₁ and D₂, and the second X marks the insertion of 169-88, to be followed by A. Chopin abbreviates A's two repeats by letters assigned to each of the sixteen bars in the section's first statement.

In her paper 'Sur les manuscrits inconnus de Chopin', given at the International Musicological Symposium on Chopin and Romanticism (Warsaw, 17-23 October 1986) and to be published in *Rocznik Chopinowski*, xix, Hanna Wróblewska-Straus discusses the autograph of Op. 34, No. 2 (as well as manuscripts for Opp. 21, 40 and 49).

Kobyłańska 1977: 11,59-63 reproduces George Sand's copy of the A minor Waltz.

⁴⁵ See Figure 26a of *Der freie Satz* for a hypothetical version of this 'freer division form'; cf. Schenker's comments in §99.

⁴⁶ 1985: 125. Hamburger (1966: 93-4) also calls E a coda, failing to note the dominant's role in the fundamental structure and suggesting that V appears merely for the sake of 'contrast'.

⁴⁷ Samson 1985: 125.

⁴⁸ Cf. Salzer 1962: Example 131.

⁴⁹ 'Nocturnes, Berceuse, Barcarolle', in Walker 1966a: 173.

⁵⁰ In the score, ♭II is enharmonically rewritten as D major.

⁵¹ Note the similarity between Op. 9, No. 1 and the E minor Nocturne in their use of 'codas' after the middle section.

⁵² See Leichtentritt 1921: i, 2ff. concerning B's phrase structure.

⁵³ Schenker (1926: 17) overlooks the structural importance of C₁ and C₂ in his analysis of the Nocturne. His graph ends after bar 24, whereupon he writes, 'folgt Coda'. It is surprising that he should have missed the point of the last ten bars, which carry the bulk of the structural weight. (Cf. *Der freie Satz*, Figure 84.)

For further discussion of the voice-leading, see Jonas 1982: 65; Salzer 1962: 11, Examples 324 and 500; Bibner 1963a; and Rothstein 1988: 118ff. See Eigeldinger 1986: 150-2, notes 183-4 regarding Chopin's ornamental variants in the Nocturne.

⁵⁴ By extending the 'changing-note' progression in the cadenza, Chopin transforms the feminine endings from the four A sections into a more conclusive masculine cadence, reaching the tonic on a structural downbeat with the resolution to $\hat{1}$ in bar 33. This supports the view that C₁ and C₂ belong to the main body of the work and are not part of the coda.

⁵⁵ See Samson 1985: 85 regarding 'ornamental melody' and the differences between it and 'brilliant' virtuosic ornamentation.

⁵⁶ Abraham 1939: 18. Abraham uses this phrase in a discussion of Op. 2, Op. 13 and Op. 14 - i.e., music written in the *stile brillante*. It is interesting that later works such as Op. 9, No. 3 which totally eschew the virtuosic manner nevertheless contain highly chromatic passages like those in the earlier repertoire. (Cf. also the finale of Op. 65, bars 71-2 and 146-7.)

⁵⁷ See Samson 1985: 86. Although the 'ornamental melody' characteristic of Op. 9, No. 2 and Op. 15, No. 2 is absent, the F major Nocturne uses a different kind of ornamentation. Here Chopin varies not the melody but the harmonic contexts in which it appears, as well as its position within the phrase structure, in order 'to enhance and intensify its expressive qualities and to reveal it in constantly changing lights' (as Samson writes of the E minor Nocturne [1985: 41]). Ornamentation based on contextual variation is no less subtle than 'ornamental melody'.

⁵⁸ The first part of the linear arch is similar to the ascent on which the middle section of Op. 10, No. 2 is based. This results from an inversion of the third between $\hat{3}$ and $\hat{1}$, which Chopin then linearly connects to form the section's structural foundation. (See Example 50.)

⁵⁹ In the second *Meisterwerk* yearbook (Figures 32-4, page 41 and *Anhang*), Schenker graphs B as a three-note ascent from g-sharp¹ to b¹ (bar 24 in the score), which he interprets as the middle pitch of a $\hat{3}-\hat{4}-\hat{3}$ neighbour-note progression between the a-sharps in 1 and 48.

Although based on a compelling motivic parallelism, this interpretation nevertheless ignores the climactic c-sharp² in bars 39ff. and the many c-sharps that follow at lower registers. Surely these are the goal of the structural ascent, so that section B derives not from a background-level neighbour-note figure, but from a linear motion designed to close the gap

between the fundamental line and cover tone. (Cf. Schenker's graph of Beethoven Op. 14, No. 2, first movement, in Figure 154^e of *Der freie Satz*.)

Aspects of Schenker's other analyses of the F-sharp major Nocturne (Figures 54⁷, 54^{11b} and 117¹ in *Der freie Satz*; cf. §§164, 252, 267 and 286) are equally problematic. For instance, Schenker claims that the melody in bars 1-2 et seq. is based on a three-note descent from a-sharp¹ to f-sharp¹. Although motivically related to the fundamental line, this closed structure lacks the momentum implicit in the 'open' neighbour-note figure a-sharp¹-g-sharp¹-a-sharp¹ shown here in Example 48, which, in contrast to Schenker's melodic 'skeleton', is resolved only with the fundamental line's descent in bar 58.

⁶⁰ See Figures 32-4 in Schenker 1926: 41 and *Anhang*.

⁶¹ Abraham makes this remark about earlier *stile brillante* music, but it equally applies to the E major Study. Cf. Part I, Chapter 1, note 36.

⁶² 1985: 59.

⁶³ 1939: 39-40.

⁶⁴ Leichtentritt 1922: ii, 80-9. See Figures 130⁴ and 153² in *Der freie Satz* for middleground and background graphs of the Study; cf. §§279 and 310 in the text.

Further analytical discussion on Op. 10, No. 1 can be found in Forte/Gilbert 1982: 188-90 and 202-3 (especially Example 177); Finlow 1985: Chapter 5; and Chapter 12 ('Of the Etude or Study') in Czerny [1848], which is examined in Bent 1978: 161-4.

⁶⁵ As in Op. 18 and Op. 22, the assimilation of sequential progressions into the structure of the C major Study indicates considerable sophistication relative to the earlier *stile brillante* music, where sequences rarely if ever assume such an important structural role, confined instead to passagework within the foreground.

⁶⁶ This interpretation differs from Schenker's, who treats vi as the middle section's underlying harmony. Note in contrast his analyses of Op. 10, No. 8 (e.g., in the *Fünf Urlinie-Tafeln*, and Figures 7^b, 54⁵, and 62^e in *Der freie Satz*), where III*³ is represented as the harmonic foundation of the middle section, even though vi is stated first, as in Op. 10, No. 1.

⁶⁷ Cf. section D of the B-flat major Polonaise Op. 71, No. 2 (see Example 16), where the 'A major' harmony in bars 78ff. sounds like an interpolation despite its central role in the V- \vee / \vee -V background-level progression in D major (i.e., \vee/\vee_1), which results from the bass arpeggiation from d through A to D.

See Salzer 1973 for discussion of the 'deceptive' B major passage interrupting Op. 25, No. 3's whole-tone structure.

⁶⁸ Note the motivic parallelism at this point, which can be seen by comparing the middleground graph with the score.

This analysis of the middle section differs from Figure 42¹ of *Der freie Satz*. Although Schenker convincingly interprets the middle section's structure as an ascent from an inner voice to the central pitch - i.e., f -

in a comprehensive $\hat{e}-\hat{e}-\hat{e}$ neighbour-note progression, followed by a descent to \hat{e} , he ignores the IV³ and f-sharp' in 30, which surely prevail over the supertonic harmony that he dubiously claims is prolonged in 25-32. Furthermore, in Schenker's graph, \hat{e} is prolonged from bar 32 to the start of the coda (45). This is also questionable, as it negates the structural function of the reprise.

⁶⁹ In Figure 42' of *Der freie Satz*, Schenker assigns to e the role of primary melodic tone. Although this is the peak of the chromatic ascent from bars 1 to 2 (if the f^3 on the second beat of 2 is regarded as a subsidiary embellishing pitch), its position within the bar is far less strong than that of the c-sharp³ on the downbeat, which temporarily replaces the diatonic third-scale-degree. If \hat{e} is viewed as the head note, then the Study has a structure based on Model 2, whereas Schenker's structure has no precedent in Chopin's music (except as a variation of Model NN₁).

⁷⁰ 1985: 62.

⁷¹ Third-progressions and neighbour-note motives are highlighted in Schenker's extended analysis of the Study (1925: 161-73).

Although he treats the middle section as a prolongation of \hat{e} , Schenker overlooks the subsidiary five-note descent in 15-41 embellishing the structural a-flat. His analysis is therefore less 'dynamic' than the interpretation in Example 51.

⁷² Schenker criticises Leichtentritt for regarding 23 as the start of a second phase within B, claiming instead that a new section begins at 21. (See Schenker 1925: 171-2.) This interpretation overlooks the dramatic change in figuration and, more importantly, the arrival of $\langle \hat{e} \rangle$ in 23, both of which suggest that B enters a different phase at this point. Any subsections within B are of course subsumed under the five-note descent, which extends from 17 through some twenty-five bars.

⁷³ Samson 1985: 66.

⁷⁴ Cf. also Op. 10, No. 12; Op. 7, No. 2; and the Trio of Op. 71, No. 2.

⁷⁵ 1985: 67.

⁷⁶ Schenker's graph of the Study (1925: 148) depicts a somewhat more rapid ascent at the start of B. Having reached $\langle \hat{e} \rangle$ in 20, the line climbs to \hat{e} - i.e., c-flat² - in the next bar. The descent to \hat{e} that follows occurs without elaboration of 33's dominant harmony.

Both Schenker and Samson (1985: 66, Example 9) assign to the harmony on the downbeat of 6 a function different from the one shown at the foreground level in Example 52, where the sonority is regarded as an implied $i^6/4$, disguised by anticipation of V⁷'s d-natural' and suspension of the previous bar's a-flat. Samson interprets the harmony as a dominant seventh, treating g-flat' on the downbeat as a dissonant passing-note rather than a structural tone, while Schenker's graph is marred by implied consecutive fifths between the submediant in bar 6 and the dominant in 8.

⁷⁷ In his graph of Op. 10, No. 8 in the *Fünf Urlinie-Tafeln*, Schenker subsumes the entire coda under the ($\hat{a}-\hat{s} || \hat{s}-\hat{i}$) descent. The analysis in Example 53a on the other hand divides the coda into two sections, bars 75-89 and 89-95. The first of these contains the ($\hat{a}-\hat{s} || \hat{s}-\hat{i}$) structure *in toto*, while the second simply prolongs the tonic until the penultimate bar. At this point a ($\hat{a}-\hat{i}$) descent recalling the fundamental line occurs over the progression $\vee^6/\vee^4 (= III^{*3}) \rightarrow vi \rightarrow V^7 \rightarrow I$, which restates in a slightly different order the background-level harmonies on which the Study is based.

⁷⁸ This interpretation of III^{*3} is similar to Schenker's. Cf. the *Fünf Urlinie-Tafeln* and Figures 7^b, 54^s and 62^s in *Der freie Satz*; also, note 66 above.

⁷⁹ The bottom system in Example 53a shows the harmonic rhythm of the Study. Each bar is given the value of a crotchet: 4/4 bars in the graph denote four-bar phrases in the piece, while the graph's 6/4 bars represent six-bar phrases. (See §297 and Figure 148^s of *Der freie Satz* regarding the phrase structure.)

⁸⁰ Another important motive in the Study is the distinctive trill figure announced at the start of the work, which Chopin inverts in the left-hand melody in bars 1-2 *et seq.* The Wiener Urtext Edition reproduces the fingering - 1 3, with the thumb on c^3 - that Chopin marked against the anacrusic trill in the copy of his pupil, Camille Dubois. As Paul Badura-Skoda comments (page 36), 'It is an exception with Chopin to start a trill with the main note.' Surely this unusual fingering was added so that the close relationship between the trill figure and the bass melody in bars 1-2 would be conveyed in performance: were the piece to start on the upper auxiliary d^3 , the motivic connection would be lost.

⁸¹ Samson's description (1985: 112) of bars 5-9 of the F-sharp minor Mazurka, Op. 6, No. 1.

⁸² Note the similarities between this passage and the sequence at the start of section B in Op. 10, No. 2.

⁸³ Compare this passage with the progression in bars 12 *et seq.* of the E-flat major Nocturne Op. 9, No. 2, and bars 75-6 of the *Grande Polonaise* Op. 22.

⁸⁴ The graph in Example 56 differs from Schenker's analysis in the *Fünf Urlinie-Tafeln*, where the fundamental line is based on a $\hat{a}-\hat{e} || \hat{e}-\hat{i}$ descent. (Cf. also Forte/Gilbert 1982: 239, Example 196.) Although Schenker's sensitivity to detail is noteworthy, his graph nevertheless ignores the principal climaxes in the Study, all of which have an important structural function. For instance, the registral peak in the piece - a-flat³, in bar 37 (i.e., \hat{a} in Example 56) - appears only in the foreground in Schenker's analysis, and the pitches in the fundamental line in bars 65ff. of Example 56 - b-flat², a-flat², g² and f² (respectively, \hat{g} , \hat{a} , \hat{s} and \hat{a}) - similarly have no structural significance according to Schenker. The standard voice-leading of Model 1, which is the basis of Schenker's analysis, explains less satisfactorily than Example 56's $\hat{a}-\hat{s} || \hat{s}-\hat{i}$ structure the salient features of the piece, each of which is stressed by Chopin as an important event.

Schenker's analysis is discussed in Bent 1987: 84-5 and Phipps 1983.

⁸⁵ 1939: 40-1.

⁸⁶ Abraham (1939: 41) calls bar 69 the beginning of the coda, whereas Leichtentritt (1922: ii, 145-53) implies that the Study lacks a coda.

⁸⁷ See §§150 and 194 of *Der freie Satz*.

⁸⁸ 1985: 68.

⁸⁹ Cf. Op. 10, No. 6, and Schenker's graph of Op. 10, No. 2 in Figure 42' of *Der freie Satz*.

⁹⁰ Note the formal similarities between Op. 10, No. 9 and the E minor Nocturne: in both pieces, there are two 'codas' - after the middle section and at the end of the work - which are based on motives taken directly from the fundamental structure.

⁹¹ Schenker's analysis of Op. 10, No. 3 in §310 and Figure 153^a of *Der freie Satz* is based on a $\hat{3}-\hat{4}-\hat{3}$ neighbour-note motion at background and midleground levels. The absence of a foreground graph from Figure 153^a means that certain problems cannot be satisfactorily resolved. However compelling it might be to relate the $(\hat{3}-\hat{4}-\hat{3})$ motion within A₁ and A₂ (A and A' in Example 59) to the overall structure, Schenker's claim that the a-naturals in 42 and 53 serve as the central pitch in a large-scale neighbour-note structure is not convincing, in view of the far greater stress given throughout B to the three pitches in the dominant triad, b, d-sharp and f-sharp. Schenker overlooks the e⁴ and d-sharp⁴ in 41-2 (the registral peaks of the piece), which serve as an obvious goal in the first half of section B, also ignoring the elaborate prolongation of b - not a - in 46-54. Furthermore, in Schenker's analysis the diminished sonorities prevalent throughout B are totally absent from the midleground level (not to mention the background), whereas in Example 59, the midleground in 38-41 and 46-53 uses nothing but diminished harmony. (Note also the diminished chord in bar 41 of the background.)

Schenker's other graphs of Op. 10, No. 3 appear in Figures 65^b and 138^b of *Der freie Satz*, which are discussed in §§182 and 287 respectively. For further analysis of the middle section, see Parks 1976: 202-12. Note Samson's comments on the phrase structure (1985: 63-4).

⁹² 1985: 64-5.

⁹³ Abraham 1939: 39.

⁹⁴ Note the parallelisms between the one-bar foreground elaborations within b₃ and b₄ and the midleground structures of each passage as a whole. For instance, bar 38 at the foreground level resembles the midleground of all of b₃.

⁹⁵ Leichtentritt writes:

Die Spitzen der flutenden Bewegung in der Höhe (Takt 16, 20, 25, 26, 34, 35, 38, 39, 45) müssen mit solcher Kraft dem Ohr eingehämmert werden, das Tempo muß so rasch sein, daß der Hörer sie unwillkürlich zu einer zusammenhängenden Kontur verbindet, alles was dazwischen liegt als wirkliches klangliches Intermezzo auf-
faßt,... (1922: ii, 103)

⁹⁶ Changing-note figures and neighbour-note motions are used to fill in perfect fifths, tritones, sixths and octaves as well as smaller intervals. They also outline arpeggios, circle-of-fifths progressions, chromatic lines and pedal points.

⁹⁷ Note Salzer's comments (1962: i,153) on the upbeat and first bar of the Study.

PART III

EPILOGUE: CHOPIN'S 'STRUCTURAL STYLE' AFTER 1832

A. Overview of Schenkerian Literature on Chopin's Later Works

Analysis of Chopin's later music reveals that, once established, the composer's mature style stayed more or less constant until the early 1840s, when the stylistic reassessment described earlier began to have a profound effect on his music. Jim Samson for instance refers to '... the relative stability, the lack of any radical change, in his musical style' after 1832, claiming that

In an age in which growth and development were the watchwords of artistic expression,..., Chopin constantly refined but did not change fundamentally the main components of his style.'

These words apply equally well to Chopin's 'structural style'. Even though techniques of composing-out in his music grew increasingly sophisticated from 1832 onwards (as the complex chromaticism in the *Barcarolle* Op. 60 demonstrates), Chopin essentially remained faithful to structural principles established in the early period: like other 'main stylistic components', his 'structural style' was not significantly changed.

This can be seen by surveying the numerous Schenkerian analyses of Chopin's later repertoire that exist in the literature,² and by comparing the results of these independent studies with analyses in the preceding chapters. Although a comprehensive approach to the mature music like the one in Part II would result in an overwhelming amount of detail,³ selective overview of published analyses will allow us to evaluate the conclusions reached thus far about Chopin's 'structural style', and to prepare for discussion of the com-

poser's most 'improvisatory' work, the *Polonaise-Fantasy*, which follows in the next section.

Tables 6 and 7 (pp. 220-4 and 225-6) list the later pieces - about thirty in number - analysed in the Schenkerian literature, grouping them (as in Part II) according to structural model and genre, and summarising their salient features. References are also provided (see Table 6d for the Key), along with example numbers indicating where the analyses are reproduced in the Appendix.

Eight mazurkas composed after 1831 have been analysed by other authors using graphic techniques, and these studies reveal numerous familiar features of the 'structural style' defined in Part II:

Model NN₁, with subsidiary linear and harmonic progressions linking sections (Op. 17, No. 1 - cf. Op. 16);⁴

ascent in the Trio (Op. 17, No. 2 and Schenker's analysis of Op. 41, No. [1] - cf. Op. 10, No. 2 and Op. 15, No. 2);

displaced V in the bass arpeggiation (Schenker's graph of Op. 41, No. [1] - cf. Op. 10, Nos. 3 and 9);

reinterpretation of IV*^a as \vee/\vee_{II} (Op. 30, No. 4 - cf. Op. 10, No. 2);

use of \flat_2 and \flat_{III} (Op. 30, No. 4 and Schenker's graph of Op. 41, No. [1] - cf. Op. 9, No. 1; Op. 10, No. 6; etc.);

structural 'appoggiatura' motives (Op. 30, No. 4 - cf. E minor Nocturne; Op. 6, No. 3; and Op. 7, No. 3); and

other fundamental motivic relationships as a source of unity (Op. 24, No. 1 and Op. 33, No. 1).

In some mazurkas, the structural models are varied by new harmonisations and voice-leading such as the enharmonically altered I- \flat VI-I progression in Op. 17, No. 3; the i-III-VI-i accompaniment to the \hat{s} - \hat{s} - \hat{s} neighbour-note motion in Op. 24, No. 1; and the elided head notes in Eibner's graph of Op. 41, No. [1]. Two mazurkas are not based on models: Op. 30, No. 2, which lacks a

TABLE 6a
LATER COMPOSITIONS BASED ON MODEL 1

<u>Piece</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>	<u>Salient Features</u>
E minor Mazurka Op. 17, No. 2	1831-3*	SH; 499	62	ascent to cover tone in section B
C-sharp minor Mazurka Op. 30, No. 4	1836-7*	FrS; 53 ^a	67	unusual underlying progression: IV ^{*3} treated as $\sqrt{V_{III}}$ (cf. Op. 10, No. 2)
E minor Mazurka Op. 41/[11]	1838-9*	Eib 70	69b	elided \hat{s} s in interruption form - cf. FrS analysis; Model 2
C-sharp minor Nocturne Op. 27, No. 1	1833-6*	MF2	74	mixture incorporated into funda- mental line; $\hat{s}-\hat{z}$ II $\hat{s}-\hat{i}$, treating all of recapitulation as 'coda'; i-III-V progression prepares for \hat{z} & V; before in- terruption, largely in minor; after, in parallel major
C major Prelude Op. 28, No. 1	1838-9*	F/G; 171-5	79a	arpeggiation to \hat{s} ; ' \hat{z} ' as incom- plete neighbour to head note
		SH; 492	79b	arpeggiation to \hat{s} ; ' \hat{z} ' part of complete neighbour-note motion decorating \hat{s}
G major Prelude Op. 28, No. 3	1838-9*	FrS; 76 ² (cf. MF5; F/G; 178)	80	subsidiary neighbour-note and I-IV-I progressions in 2nd part of model; \hat{z} embellished
E minor Prelude Op. 28, No. 4	1838-9*	F/G; 15/3	---	adaptation of model to $\hat{s}-\hat{z}$ II $\hat{s}-\hat{i}$ structure
B minor Prelude Op. 28, No. 6	1838-9*	Burkhart	81	subsidiary neighbour-note motion after interruption, harmonised i- III ⁶ -V-i (N.B. For Schen- ker's interpretation, see Burkhart 1973; 87, note 2)
F major Study Op. 25, No. 3	1833-7*	MF3	77	symmetrical melodic and bass patterns subordinate to under- lying whole-tone progression elaborating V and \hat{z} (1st part of Model 1), in which F-sharp major is temporarily treated as V of B major in 'improvisa- tory' deception; subsidiary Model 1s in outer sections and in B major 'interruption'
A minor Study Op. 25, No. 11	1833-7*	FrS; 76 ^a , 100 ^{6a} , 100 ^{3c}	78	adaptation of model to $\hat{s}-\hat{z}$ II $\hat{s}-\hat{i}$ structure; i-III-V progression links A & B; elaboration of v (i.e., v-III-ii ⁶ -V ^{*3}) in sec- tion B

For information on Dates and Examples and Key to References, see Table 6d.

TABLE 6b
LATER COMPOSITIONS BASED ON MODEL 2

<u>Piece</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>	<u>Salient Features</u>
F minor Fantasy Op. 49	1841	Schachter	86	F minor = vi in auxiliary progression leading to i (i.e., vi-V-I - cf. Rondo Op. 16); \hat{a} prolonged for over 300 bars (out of 332); numerous subsidiary descents
E minor Mazurka Op. 17, No. 2	1831-3*	---	---	reinterpretation of SH analysis, with motion from inner voice in section B1
A minor Mazurka Op. 17, No. 4	1831-3*	F/G; 287-96	64a	mixture underneath prolonged \hat{a} (cf. Beach)
G-sharp minor Mazurka Op. 33, No. 1	1836-8*	Eib 56	68	subsidiary 6th-prg. in middle section
E minor Mazurka Op. 41/[11]	1838-9*	FrS; 75	69a	prolongation of \hat{a} , with subsidiary ascents (and descents) in B; cover tones; $\hat{a}\hat{2}$; displaced V in bass arpeggiation
D-flat major Nocturne Op. 27, No. 2	1833-6*	SH; 506	75	'highly organized' but not 'conventional form pattern'; motivic use of changing-note shapes in melodic structure
C minor Prelude Op. 28, No. 20	1838-9*	F/G; 191	83	characteristic i-VI-iv-i progression in 1st part of piece
Barcarolle Op. 60	1845-6	---	87	I- ^b III-V-I prg. contained within fundamental structure; interruption in middle section contributes to apotheosis at end
Polonaise-Fantasy Op. 61	1845-6	---	88	I- ^b III-V-I prg. in bg, 'disguised' in mg and fg; initial ascent as motive; lack of closure in middle section (i.e., 'slow movement') contributes to apotheosis at end

For information on Dates and Examples and Key to References, see Table 6d.

TABLE 6c
LATER COMPOSITIONS BASED ON 'NEIGHBOUR-NOTE' MODELS

MODEL NN ₁				
<u>Piece</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>	<u>Salient Features</u>
G minor Ballade Op. 23	1835	FrS; 153'	84	adaptation of model, with underlying i-VI-V-i progression; subsidiary descent in 1st section; VI elaborately prolonged
B-flat major Mazurka Op. 17, No. 1	1831-3*	HmJ: 268 FrS; 76 ⁵ , 83 ²	---	harmonic chain in thirds, bs 90f. 'standard' I-IV-I underlying progression
G minor Mazurka Op. 24, No. 1	1833-6*	FrS; 119 ²¹ 91 ⁴ , 137 ²	65	neighbour-note motion given different harmonisation; i-III-VI-i
A-flat major Prelude Op. 28, No. 17	1838-9*	Samson	82	adaptation of model in first part of work, with $\hat{6}-\flat\hat{6}-\hat{6}$ & I-VI-I underlying motions implied

MODEL NN ₂				
<u>Piece</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>	<u>Salient Features</u>
A major Polonaise Op. 40, No. 1	1838-9*	FrS; 40'	71	'standard' I-IV-I underlying progression; subsidiary Model 1s in outer sections
A-flat major Waltz Op. 34, No. 1	1835-8	MwII; 13	72	'standard' I-IV-I underlying progression & $\hat{6}-\hat{2}-\hat{6}$ motion overcome 'Potpourri-Charakter'; subsidiary descents in first section

TABLE 6c
LATER COMPOSITIONS BASED ON 'NEIGHBOUR-NOTE' MODELS
(continued)

MODEL NN ₃				
<u>Piece</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>	<u>Salient Features</u>
A-flat major Mazurka Op. 17, No. 3	1831-3*	FrS; 30 ^a	63	unusual underlying harmonic progression accompanies $\hat{3}-\flat\hat{3}-\hat{4}\hat{3}$ motion; I- ^b VI-I
[C-sharp minor Nocturne Op. 27, No. 1 1833-6*	---	---	---	alternative to MF2 graph; mixture within fundamental line (thus, $\hat{3}-\sharp\hat{3}-\hat{4}\hat{3}$ ($\sharp\hat{2}$ $\hat{1}$) plus two subsidiary interruptions - i.e., ($\hat{3}$ $\hat{2}$ \parallel) and ($\sharp\hat{3}$ $\hat{2}$ \parallel)]
C-sharp minor Polonaise Op. 26, No. 1 1831-6*		FrS; 44 ² , 80 ² , 113 ^{3c} , 99 ²	70	overall i-I-i and $\hat{3}-\sharp\hat{3}-\hat{4}\hat{3}$ motions; subsidiary Model 1s in ABA & CDC; neighbour-note parallelisms in A & C; D is most complex section
		HmJ; 290	---	C# pedal links introduction to section A
D-flat major Scherzo Op. 31	1835-7	FrS; 102 ^e , 57 ² (cf. Eib 63b)	85	adaptation of model, with $\hat{3}-\flat\hat{3}-\hat{4}\hat{3}$ neighbour-note motion harmonised by basic I- ^b VI-I progression (note subsidiary harmonies in Schenker's graph, especially use of vi); succession of major 2nds (whole-tones) in bass allowed because of bg and mg linear prgs
C-sharp minor Waltz Op. 64, No. 2	1840-7*	FrS; 8309, 137 ¹ , 124 ^{5b}	73	3-part form based on mixture: $\hat{3}-\sharp\hat{3}-\hat{4}\hat{3}$; enharmonic change; C-sharp minor + D-flat major; subsidiary Model 1 in 1-32; subsidiary ($\hat{3}-\hat{1}$) descents in 33-48

For information on Dates and Examples and Key to References, see Table 6d.

TABLE 6d
LATER COMPOSITIONS NOT BASED ON MODELS

<u>Piece</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>	<u>Salient Features</u>
A minor Mazurka Op. 17, No. 4	1831-3*	Beach	64b	descents from \hat{s} in outer sections and from $\#s$ in middle section
'B minor' Mazurka Op. 30, No. 2	1836-7*	FrS; 152 ⁷	66	lack of fundamental line, bass arpeggiation; 'completed composition?'
G major Nocturne Op. 37, No. 2	1837-9*	SH; 508	76	'problematic composition' despite 'organic bass motion' and 'convincing' tonal plan; melody not 'equal partner' to bass; 'lack of large-scale melodic organization'

Dates taken from Chomiński 1980: 218-19 (cf. Samson 1985: 235-6), except for Op. 60 and Op. 61.
Asterisks are added to dates pertaining to an entire opus rather than an individual work.

Example numbers refer to the Appendix (Volume Two), where relevant analyses are reproduced.

Key to References:

Beach	=	Beach 1977
Burkhart	=	Burkhart 1973
Eib 56	=	Eibner 1956
Eib 63b	=	Eibner 1963b
Eib 70	=	Eibner 1970
F/G	=	Forte/Gilbert 1982
FrS	=	<i>Der freie Satz</i>
HmJ	=	Schenker 1954 (i.e., <i>Harmony</i> , ed. Jonas)
MF2	=	Salzer 1970 (i.e., <i>Music Forum</i> , ii)
MF3	=	Salzer 1973 (i.e., <i>Music Forum</i> , iii)
MF5	=	Schachter 1980 (i.e., <i>Music Forum</i> , v)
MwII	=	Schenker 1926
Samson	=	Samson 1985
Schachter	=	Schachter 1988
SH	=	Salzer 1962 (i.e., <i>Structural Hearing</i>)

N.B. Numbers after colons refer to figures or examples, not pages or sections, unless otherwise indicated (e.g., FrS; 53^a = Figure 53^a in *Der freie Satz*). When referring to analyses of single works (e.g., Eibner 1970), example numbers are not provided.

TABLE 7
STRUCTURAL MODELS IN LATER COMPOSITIONS, ACCORDING TO GENRE

MAZURKAS

<u>Piece</u>	<u>Model</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>
B-flat major Mazurka Op. 17, No. 1	NN ₁	1831-3*	FrS; 76 ^s , 83 ²	61
E minor Mazurka Op. 17, No. 2	1	1831-3*	SH; 499	62
	2		(see Table 6b)	---
A-flat major Mazurka Op. 17, No. 3	NN ₃	1831-3*	FrS; 30 ^a	63
A minor Mazurka Op. 17, No. 4	2	1831-3*	F/G; 287-96	64a
	None		Beach	64b
G minor Mazurka Op. 24, No. 1	NN ₁	1833-6*	FrS; 119 ²¹ 91 ⁴ , 137 ²	65
'B minor' Mazurka Op. 30, No. 2	None	1836-7*	FrS; 152 ⁷	66
C-sharp minor Mazurka Op. 30, No. 4	1	1836-7*	FrS; 53 ³	67
G-sharp minor Mazurka Op. 33, No. 1	2	1836-8*	Eib 56	68
E minor Mazurka Op. 41/[1]	2	1838-9*	FrS; 75	69a
	1	1838-9*	Eib 70	69b

POLONAISES

<u>Piece</u>	<u>Model</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>
C-sharp minor Polonaise Op. 26, No. 1	NN ₃	1831-6*	FrS; 44 ² , 80 ² , 113 ^{3c} , 99 ²	70
A major Polonaise Op. 40, No. 1	NN ₂	1838-9*	FrS; 40 ¹	71

WALTZES

<u>Piece</u>	<u>Model</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>
A-flat major Waltz Op. 34, No. 1	NN ₂	1835-8	MwII; 13	72
C-sharp minor Waltz Op. 64, No. 2	NN ₃	1840-7*	FrS; 5309, 137 ¹ , 124 ^{6b}	73

NOCTURNES

<u>Piece</u>	<u>Model</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>
C-sharp minor Nocturne Op. 27, No. 1	1	1833-6*	MF2	74
	NN ₃		(see Table 6c)	---
D-flat major Nocturne Op. 27, No. 2	2	1833-6*	SH; 506	75
G major Nocturne Op. 37, No. 2	None	1837-9*	SH; 508	76

TABLE 7
STRUCTURAL MODELS IN LATER COMPOSITIONS, ACCORDING TO GENRE
(continued)

STUDIES

<u>Piece</u>	<u>Model</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>
F major Study Op. 25, No. 3	1	1833-7*	MF3	77
A minor Study Op. 25, No. 11	1	1833-7*	FrS: 76 ³ , 100 ^{6a} , 100 ^{3c}	78

PRELUDES

<u>Piece</u>	<u>Model</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>
C major Prelude Op. 28, No. 1	1	1838-9*	F/G: 171-5	79a
	1		SH: 492	79b
G major Prelude Op. 28, No. 3	1	1838-9*	FrS: 76 ² (cf. MF5; F/G: 178)	80
E minor Prelude Op. 28, No. 4	1	1838-9*	F/G: 15/3	---
B minor Prelude Op. 28, No. 6	1	1838-9*	Burkhart	81
A-flat major Prelude Op. 28, No. 17	NN ₁	1838-9*	Samson	82
C minor Prelude Op. 28, No. 20	2	1838-9*	F/G: 191	83

MISCELLANEOUS

<u>Piece</u>	<u>Model</u>	<u>Date</u>	<u>Reference</u>	<u>Example</u>
G minor Ballade Op. 23	NN ₁	1835	FrS: 153 ¹	84
D-flat major Scherzo Op. 31	NN ₃	1835-7	FrS: 102 ⁶ , 57 ² (cf. Eib 63b)	85
F minor Fantasy Op. 49	2	1841	Schachter	86
<i>Barcarolle</i> Op. 60	2	1845-6	---	87
<i>Polonaise-Fantasy</i> Op. 61	2	1845-6	---	88

Table 6 lists the salient features of these analyses. For information on Dates and Examples and Key to References, see Table 6d.

fundamental structure, and Op. 17, No. 4 as analysed by Beach (whereas Forte/Gilbert posit a structure derived from Model 2, with mixture underneath the prolonged head note \hat{s}).

Schenker's analyses of two polonaises from the later period - Op. 26, No. 1 and Op. 40, No. 1 - are particularly interesting, for although significant changes occurred in Chopin's approach to the genre after 1831, structurally these works derive from models established in the Warsaw and Vienna repertoire, indicating remarkable consistency in the composer's 'structural style'.⁵ In both pieces, literal recapitulation after the Trio means that the fundamental line is contained within the Polonaise; the subsidiary structures that result - Model 1 in both works - link the first two sections, A and B, as in numerous earlier polonaises. Model NN₃ spans the Polonaise and Trio in Op. 26, No. 1 (cf. Op. 71, No. 1); moreover, the introduction is joined to the main body of the work, and section D - i.e., the middle part of the Trio - has by far the most complex music (as in the Op. 71 pieces and the G-flat major Polonaise). Op. 40, No. 1 is reminiscent of the *Polonaise Brillante* Op. 3 in its use of Model NN₂, which, derived from the waltzes and mazurkas of the early period, reveals the generic cross-fertilisation characteristic of Chopin's music from now on.

The two waltzes analysed by Schenker - Op. 64, No. 2 and Op. 34, No. 1 - reflect the contrasting types found in earlier repertoire: the *valse triste* and its 'brilliant' counterpart. Like the A-flat major, E major and D-flat major Waltzes, Op. 34, No. 1 is based on Model NN₂,⁶ with structural voice-leading and numerous subsidiary descents as in Op. 18 to transcend the sense of sectional concatenation. Whereas the B minor and E minor Waltzes are based on Model 2, Op. 64, No. 2 uses Model NN₃ (thus resembling some earlier mazurkas, polonaises and nocturnes), and is further characterised by

subsidiary descents - e.g., Model 1 and an octave-progression in section A - and enharmonic change in the Trio.⁷

Although the nocturnes composed after 1832 have certain features in common with their earlier counterparts (for instance, in Op. 27, No. 2 - as in Op. 9, No. 1 - the structural descent is delayed with great expressive effect), in other respects they are quite novel. Salzer writes for instance that Op. 27, No. 2 is based on 'a principle of variation' rather than a conventional three-part form,⁸ and he calls Op. 37, No. 2 'strange' and 'problematic': despite its 'organic bass motion' and 'convincing' tonal plan, the G major Nocturne lacks 'the overall melodic continuity and structure, and especially the correspondence between bass and melody' typical of Chopin's music.⁹ According to Salzer's analysis, the work follows none of the standard voice-leading models, although familiar stylistic traits do recur (foreshadowing the *Polonaise-Fantasy* in their 'improvisatory' boldness): structural thirds (bars 7-21, 75-7, 78-80 and 130-2); stepwise progressions (21-3, 43-55, 98-109); chromatic motions (25-7); and motivic use of a 'I-III^{♯3}' motion (31-7ff., 55-61ff., 86-92ff. and 110-16ff.). Furthermore, as in Op. 61, thematic and tonal recall are important sources of unity, especially given the apparent 'lack of large-scale melodic organization [which] contributes much to the kaleidoscopic impression of this Nocturne'.¹⁰

In contrast, Salzer's analysis of Op. 27, No. 1 is unconvincing, based on an unusual variation of Model 1 incorporating chromatic change in the fundamental line. The $\hat{3}-\hat{2} \parallel \hat{*}\hat{3}-\hat{1}$ structure that results lacks any direct relation to the work's ABA form, whereas an alternative graphing based on Model NN₃ (i.e., $\hat{3}-\hat{*}\hat{3}-\hat{4}\hat{3}$ spanning bars 1-64, 65-83 and 84-92, with the structural descent occurring in 92-4) avoids the binary-ternary opposition from which Salzer's study suffers. This alternative interpretation also accounts

for the accents, *ritenuto* and *con duolo* in 93 (which highlight the descent of the fundamental line, as in earlier nocturnes) and the abbreviated reprise (which further relates the work to its predecessors in the genre).

Another analysis by Salzer more aptly summarises one of Chopin's most 'improvisatory' works - the F major Study Op. 25, No. 3 - which, based on Model 1, relies in numerous respects on principles of *vernünftige Betrügerey* in composing-out the background structure. The prolongation of the dominant in section B takes the form of a whole-tone descent (shown in Salzer's Example 6b) which is then sequentially elaborated with the central harmony - F-sharp major - temporarily treated as V of B major in a clever interruption forming what Salzer calls a 'misleading and thus "false" recapitulation'.¹¹ Although this 'rational deception' (which recalls the reinterpretation of IV³ as $\vee/\vee\text{II}$ in Op. 10, No. 2) gives the impression of a symmetrical harmonic structure - i.e., F major-B major-F major - the piece is in fact derived from very different voice-leading, that of Model 1. In summarising his analysis, Salzer alludes to the 'improvisatory' nature of the Study, and to the shaping of the foreground as if according to an improvisatory 'basic plan':

In viewing the work as a whole, we again see that once the composer is consciously or unconsciously secure in his background and middleground structure, he can be most adventurous with the foreground's possibilities of surprise and deception.¹²

Schenker's graphs of Op. 25, No. 11 also reveal Chopin's 'improvisatory' elaboration of a remote structure. Here the descending arpeggiation in thirds in the introduction motivically prepares for both the $i\text{-III}\text{-}\vee$ progression linking A and B, and the remarkable descent in major thirds within B - i.e., from C major (III) through A-flat and E back to C - which is similar to a subsidiary structure in Chopin's first published work, the Rondo Op. 1 (cf. Example 9).

Analysis of a 'new' genre from the later period - the preludes - demonstrates Chopin's close adherence to the structural models in works derived from a tradition of improvisation.¹³ Five of the seven **Op. 28 Preludes** studied in the Schenkerian literature are based on Model 1, three of them (Nos. 1, 3 and 6) with neighbour-note elaborations in the second part of the model. Other familiar features include the embellishment of $\hat{2}$ in **Op. 28, No. 3** (cf. the **Op. 9 Nocturnes** and **Op. 10 Studies**), the chromatically harmonised subsidiary descent and $i\text{-VI-iv-V}$ progression in **Op. 28, No. 20** (as in **Op. 10, No. 11**), and the variation of Model NN_1 in **Op. 28, No. 17** via a $I\text{-}^bVI\text{-}I$ accompaniment to the $\hat{2}\text{-}^b\hat{2}\text{-}\hat{2}$ neighbour-note structure (cf. **Op. 17, No. 3**).

Model NN_1 is similarly adapted in the **G minor Ballade Op. 23**, one of only a few larger pieces treated in the literature. As Schenker's graph indicates, this extended work is based on a $\hat{2}\text{-}\hat{2}\text{-}\hat{2}$ motion in the fundamental line, harmonised by a $i\text{-VI-V-i}$ progression. After the subsidiary five-note progression in bars 1-58, the first of two enharmonic bass motions leads to $\sqrt[3]{\sqrt[3]{i}}$, whereupon the submediant is greatly elaborated.¹⁴ The return to i is followed by the fundamental line's descent, which in this analysis is identical to the first section's linear structure.

Another extended composition from this period - the **D-flat major Scherzo Op. 31** - uses a variation of Model NN_2 , with a $\hat{2}\text{-}^b\hat{2}\text{-}\hat{4}\hat{2}$ motion in the fundamental line (as in **Op. 9, No. 3** and **Op. 15, No. 1**) and an enharmonically altered $I\text{-}^bVI\text{-}I$ progression (cf. **Op. 17, No. 3** and **Op. 28, No. 17**). As in **Op. 16** and **Op. 49**, the tonic is prepared through an auxiliary vi - **B-flat minor**. The complex prolongation of 'A major' (i.e., **B-double-flat major** enharmonically respelled) in the middle section uses several familiar devices, among them motion from an inner voice (cf. Schenker's graph of **Op. 10, No. 2**) and a whole-tone progression in bars 516ff. (as in **Op. 25**,

No. 3). In the coda, Chopin returns to the 'motivic' A major in an apotheosis-like summary of the work's principal structural features (cf. Op. 10, No. 1, where the middleground I-III*³-I motion in bars 57-69 rearticulates the background-level progression joining all three sections).

Apart from the *Barcarolle* and *Polonaise-Fantasy* (both of which will be studied in the next section), the only other extended composition analysed in the Schenkerian literature is the *F minor Fantasy Op. 49*. Numerous features of this work derive from the 'public' improvisation tradition discussed earlier: the slow introduction (which, as Jim Samson observes, is related to the 'marches and chorale-like choruses of French opera of the 1830s and 1840s, in particular Meyerbeer');¹⁵ the use of non-recurrent material (as in the introduction); and 'preluding' figuration (in transitional passages such as bars 43ff.). The influence of various 'formal' models can be seen (thus offering a direct challenge to Schenker's notion of improvisation), although, Samson implies, other principles of construction are also apparent:

Undoubtedly Chopin composed the fantasy against a background of traditional formal archetypes, in particular sonata-form. But the music's dialogue with that background is extremely free, rather as it might be in improvisation,... Sonata processes and patterns are best thought of loosely..., providing a kind of framework which binds together a range of contrasting characterisations of a kind common in improvisation - slow march, prelude or recitative, sonata, and later chorale.¹⁶

Having noted the 'Classical' design of the opening march, Samson then comments that the construction of the preluding passage is equally rigorous, '... emphasising that influences from improvisation do not penetrate beyond the character of the materials and the overall conception into its detailed working'.¹⁷

Although valid with regard to countless other early to mid-nineteenth-century fantasies, Samson's distinction between 'rigorous' and 'improvisatory' does not fully take into account Chopin's unique improvisatory tech-

nique. As we have seen in the case of numerous works (and as Schenker himself would have claimed simply on the basis of Chopin's innate compositional genius), this important facet of the composer's 'structural style' is characterised by the free realisation of a 'basic plan' - possibly one of the voice-leading models - according to harmonic and contrapuntal principles. Much of Chopin's music, including Op. 49 as well as earlier works like Op. 25, No. 3, is rigorous and improvisatory.

Both Samson and William Kinderman¹⁸ analyse the Fantasy's harmonic structure in terms of a chain of ascending thirds derived from the tonal opposition between F minor and A-flat major, which, announced at the very beginning (bars 7-10 and 19), is felt throughout the work at several structural levels (thus inspiring Carl Schachter's reference to a 'two-key scheme').¹⁹ The cycle of thirds transfers the tonic function from F minor to A-flat major in eight intermediate phases, as outlined below:

f + A-flat + c + E-flat + G-flat + (B) + b-flat + D-flat + f + A-flat.

The B major passage at the centre - i.e., C-flat major enharmonically rewritten - briefly interrupts the harmonic chain with the expressive *Lento sostenuto* 'slow movement', the structural significance of which will soon become apparent.

Schachter's detailed graphic analysis reveals that this chain of thirds is subservient to a large-scale vi-V-I auxiliary cadence at the background level, which is elaborated in the middleground by means of various subsidiary descents and harmonic interpolations. (See **Example 86.**) The 'preluding' material summarises in miniature several salient structural features: as Schachter's Example 7 indicates, the passage is based on a motivic four-note descent²⁰ in the bass and an embellished progression from i to V in F minor, which Chopin composes out by interpolating harmonic ascents in thirds between

the structural 'pillars'. The *Lento sostenuto* passage (Schachter's Example 14) also features interpolations.

By re-expressing the analytical findings of Schachter, Samson and Kinderman in terms of the 'structural style' defined earlier, it is clear that Op. 49 is 'improvisatory' in much the same way as Op. 25, No. 3 and, furthermore, Mozart's C minor Fantasy K.475 are. Both of these works are based on large-scale 'deceptions' intentionally exploited by the composer to give the impression of complexity despite relative structural simplicity. In K.475, the unorthodox 'changing-note' harmonic structure (c-D-B-flat-c)²¹ is subordinate to an all-encompassing, 'dynamic' progression towards the dominant; and in the F major Study, the apparent tonal foundation - the symmetrical progression from F major through B major back to F - is entirely contained within a Model 1-derived framework, in which the 'false' B major recapitulation merely interrupts the whole-tone descent elaborating V.

In Op. 49, Chopin also 'deceives' by means of interpolations, the most important of them the B major 'slow movement' inserted between the G-flat and B-flat minor phases of the harmonic ascent in thirds. Invested with the most expressive music in the piece, this passage offers a significant point of contrast within the foreground, although within the overall tonal structure it acts not as a harmonic goal *per se* but rather as an interruption. The enharmonic rewriting of C-flat major obscures the true structural function of the 'slow movement' all the more.

Even though the Fantasy shows signs of having been influenced at least in part by 'formal' archetypes and by the 'public' improvisation tradition in general, this by no means suggests that the piece has little to do with the principles of improvisation set out by Schenker, nor, on the other hand, does its 'rigorous' conception actually constrain the music's 'improvisatory'

character.²² Chopin's highly refined 'improvisatory' technique prevails throughout, clearly indicated by the harmonic ascent in thirds (which, a common feature of his 'structural style', could well have acted as a 'basic plan' in writing the work) and by the B major 'rational deception' (which is best understood in comparison with those passages in Op. 10, No. 3 and Op. 25, No. 3 that also feature large-scale use of *vernünftige Betrügerey*). That the Fantasy possesses an all-encompassing tonal structure (as shown in Schachter's study) despite the influence of 'form' further points to Chopin's reliance - whether conscious or unconscious - not on the contemporary improvisatory aesthetic, but rather on the eighteenth-century principles of improvisation embodied in works like Mozart's K.475 and, furthermore, in his own *Polonaise-Fantasy*, as the following discussion will reveal.

B. The Barcarolle and the Polonaise-Fantasy: Genre, Structure, 'Structural Style'

The F minor Fantasy was one of the last large-scale works written by Chopin before undertaking the stylistic reassessment referred to earlier, which began around 1841 with a study of counterpoint treatises by Cherubini and Kastner²³ and experimentation with contrapuntal forms such as fugues.²⁴ The legacy of this period of re-evaluation can be seen not only in the highly contrapuntal textures of certain late works - e.g., the canons in the E major Nocturne Op. 62, No. 2 and the C-sharp minor Mazurka Op. 63, No. 3 - but also, as Jeffrey Kallberg reveals in his study of Chopin's 'last style', in a more restrained use of ornamentation, the use of nonpitched elements to define form, and the exploitation of rhythm 'to increase tension over entire sections of pieces'. In this 'last style',

Harmony transcended the high sophistication of earlier works, either by probing more chromatic reaches, or by repeating, as a unifying device, the same chordal progressions throughout a work. New genres were essayed, and old ones recharged by the admixture of elements from other forms.²⁵

The two works discussed in this section - the *Barcarolle* Op. 60 and the *Polonaise-Fantasy* Op. 61 - offer particularly apt examples of this innovative approach to genre: Op. 60 was Chopin's first barcarolle,²⁶ while the *Polonaise-Fantasy* (which, like Op. 60, was composed in 1845-6) fuses at least two genres used by the composer earlier in his life.

By analysing these pieces individually and then comparing the results obtained (also taking into account the sketches for Op. 61, which offer relevant insights into Chopin's compositional method), it will be possible to show that genre - although responsible for 'traits of character'²⁷ within the

foreground as well as more fundamental formal properties (particularly in the *Polonaise-Fantasy*) - was subordinate to the principles of tonal design implicit in the composer's 'structural style', which shaped these otherwise different works in remarkably similar ways. Furthermore, comparative analysis enhances our understanding of the close link between improvisation and composition in Chopin's music, and of the applicability of Schenker's notion of improvisation to Op. 61 despite the apparent challenges posed by the sketches for the piece.

Why Chopin turned to the barcarolle genre at this stage in his career has never been established, although numerous compositional *raisons d'être* have been conjectured in the literature. It seems likely that he drew inspiration from the operatic barcarolles in vogue at the time, or perhaps from those in Rossini's *Soirées Musicales*, several of which he taught, as transcribed by Liszt, to his student Camille Dubois.²⁸

Various features of the *Barcarolle* clearly derive from the genre: the work's lyrical nature, melodic thirds and sixths, characteristic rhythms (such as the crotchet-quaver pattern) and details possibly borrowed from Rossini and Liszt (for instance, the right-hand figures in bars 16 and 34 resemble a similar pattern in Rossini's 'La Gita in Gondola'). Apart from these aspects, however, Op. 60 has little in common with other barcarolles, particularly with regard to phrase structure, form and tonal design. Chopin based the piece not on the simple two- or three-part song forms typical of the genre, but on a complex and far more ambitious structure possibly influenced by sonata form.²⁹ Neither diatonic in character, with 'few chromatic intervals', nor characterised by a 'soothing harmonic simplicity',³⁰ the *Barcarolle*'s harmonic language is innovative, profoundly expressive and at times

even disturbing, as in the coda, where the insistent pedal on F[#] creates progressions of almost overwhelming dissonance.

Whereas most barcarolles have but a single melody (as might be expected in works based on a folk tradition), Chopin's has three themes, made up not of the four-bar phrases typical of the genre but of nine-, ten- and eleven-bar periods. (See **Example 87a.**)³¹ The first theme, in the tonic F-sharp major, enters after a short introduction based on the dominant. The second - B(1) - is in A major (♭III), as is the third, B(2). The improvisatory transitional passage that follows, based on the dominant and marked *dolce sfogato*, leads to a return of A', then B(2)' (now in the tonic and much expanded in an exciting apotheosis), and finally, in the coda, B(1)"', grounded in F-sharp major by the pedal note but otherwise harmonically complex. Shown at the background level in **Example 87b**, the tonal structure of the work - which is implicit in the arrangement of the three themes - is thus based on the 'dynamic' underlying progression I-♭III-V-I, which prolongs the primary melodic tone $\hat{6}$ as a common tone throughout the piece (as in Model 2). Although similar to many of those discussed in Part II, this 'dynamic' progression has special significance in Chopin's 'structural style', as analysis of the *Pologne-Fantasy* will show.

Example 87c represents the elaboration from the background to the first middleground level. The structural $\hat{6}$, c-sharp², generates several subsidiary descents. The first two span A and A', imitating the fundamental line and articulating a 'freer division form' ($\hat{6}-\hat{6} \parallel \hat{6}-\hat{1}$) which acts as an important motivic parallelism preparing for the more profound interruption between B(2) and B(2)'. At the abbreviated return of A' in bars 84-92, the imitative ($\hat{6}-\hat{1}$) structure appears without a preparatory descent from c-sharp² to

a-sharp': instead the music presses ahead to the expansive recapitulation of B(2).

Another stepwise descent - from c-sharp² to c-sharp' - between bars 35 and 70 comprises the transition to A major (\flat III), Theme B(1) and the first statement of B(2). Initially, in 62-70, B(2) descends linearly from e to c-sharp ($\hat{e}-\hat{d}-\hat{c}$) in the context of \flat III - see **Example 87d**, failing to reach the local (\hat{c}), a, and thus emphasising the structural \hat{e} c-sharp. Closure is withheld and the music moves on, returning from \flat III to I via the dominant. When it reenters in 93, however, B(2)' lacks the interruption found in 70: the structural descent from \hat{e} to \hat{c} is now completed, thereby resolving tension latent in the music for thirty-two bars. Once the fundamental line has reached its goal (within a phrase extension remarkable for its intense chromaticism - see the foreground representation in **87d**), the coda begins. Like A and A', it too is based on the fundamental line, dramatically enhancing the sense of apotheosis in B(2)' with the most complex harmonic writing in the piece, as the second middleground and foreground graphs in **Example 87e** indicate.

Structurally, then, the *Barcarolle* can be summarised in terms of its 'dynamic' underlying progression I- \flat III-V-I prolonging the head note throughout the work, widespread motivic use of the fundamental line, interruption within B(2) postponing closure until the later apotheosis of the theme, and shifting of structural weight towards the end of the piece, when, after an abbreviated reprise of the first section, the fundamental line descends in a climactic extension. Although manifested in a genre altogether different from any in which Chopin had previously worked, these characteristics clearly derive from the 'structural style' established some fifteen years earlier,

resembling in certain respects the Op. 9 and Op. 15 Nocturnes, Op. 10 Studies and A minor Waltz Op. 34, No. 2.

Features similar to these are also found in the *Polonaise-Fantasy*, which, as noted above, was composed contemporaneously with the *Barcarolle*. That the two should have so many structural characteristics in common says much about Chopin's approach to genre during this late period, as detailed analysis of Op. 61 will suggest. But to discuss the *Polonaise-Fantasy*'s underlying structure without first noting its immense complexity at the foreground level would miss the point of this elusive piece. Op. 61 presents the analyst with a wide array of difficult issues: why does the introduction return late in the work, followed by a fragment from the central section and then, after a turbulent transitional passage, an apotheosis of the principal themes? how should one interpret the 'parallel' progression towards the middle of the piece, from A-flat minor through B-flat major (first stated in second inversion) to B minor/major? why should Chopin so avidly withhold closure throughout the work, arriving at a full cadence in only a few places? and what structural principles prevail in a piece characterised (in Jim Samson's words) by its 'apparent profligacy'?³²

Numerous writers have grappled with the *Polonaise-Fantasy* in order to answer questions such as these, among them Liszt³³ (who, as Paul Hamburger writes,³⁴ '... had oddly prim reservations even about the content of the music'), Leichtentritt,³⁵ Lew Mazel,³⁶ Zofia Lissa³⁷ and Eero Tarasti.³⁸ Most have explained the work as an amalgam of forms and genres - sonata form, theme and variations, ballade, concerto, and (not surprisingly) polonaise and fantasy. But, as Jeffrey Kallberg points out, 'While all of these writers responded to a significant aspect of Chopin's late style - generic borrowing - most advanced inordinately complex models that little touch the audi-

tory experience of the work.' Kallberg proposes instead that the piece should be thought of rather more simply '... as an alloy of the two genres in its title',³⁹ a view he supports by examining the broader traditions - in particular the formal archetypes - behind each genre, and by studying Chopin's sketches for Op. 61.

Other authors - for instance, Felix Salzer, Nicholas Cook and Jim Samson - have approached the work using Schenkerian methods, with varying degrees of success. Salzer⁴⁰ focuses only on the first nineteen bars of the piece, whereas Cook's analysis of the entire work consists of 'two quite independent fundamental structures embedded one within the other, each in a different key'.⁴¹ Although provocative, this highly problematic interpretation essentially denies the underlying structural unity of the piece, which has in fact been demonstrated by Samson, whose middle- and background graphs (presented in a study of Chopin's 'composition-draft')⁴² are altogether more convincing, although it is nevertheless unclear how the pitches in the structural octave descent identified by Samson are prolonged in the music.

Despite the extensive treatment given to the work in the literature, the *Polonaise-Fantasy* warrants analytical examination here, not only to define its underlying structure in greater detail, but also to investigate further the relation between Schenker's principles of improvisation and this extraordinary 'improvisatory' work.⁴³ **Example 88a** summarises Op. 61 according to its principal themes⁴⁴ and tonal regions, and **Example 88b** presents the work's background structure. As in Op. 60, this is based on a 'dynamic' underlying progression $I-\text{bIII}-V-I$ (whereas earlier polonaises tend to have closed, symmetrical structures - e.g., $i-I-i$ or $I-vi-I$ - lacking in 'structural momentum'),⁴⁵ which prolongs the head note \hat{s} throughout the piece as in Model 2. Subsidiary descents in I and bIII ⁴⁶ appear in the treble, and in

the bass Chopin connects the main harmonies with a rising linear motion, assigning important structural functions to each of the passing notes, the first of them - B-flat - supporting the 'first nocturne', and the second - d-flat - the transition leading to the apotheosis of the polonaise theme and slow section. The major/minor opposition⁴⁷ between the bass ascent (in A-flat minor) and the fundamental line (in A-flat major) extends to all structural levels in the piece.

The first middleground graph reveals an important structural motive - a five-note linear ascent from a-flat¹ to the head note, e-flat² - which is based on the fundamental line and which occurs three times in the work, in each case directly preceding a structural descent. (See **Example 88c.**) The first of these, in bars 1-56, establishes the primary melodic tone \hat{a} after climbing through the chromatically altered \hat{a} in bar 51. Although identical to the first in terms of pitch, the second ascent uses its sharpened \hat{a} in conjunction with the bass passing note in bar 116 to create the B-flat major harmony on which the 'first nocturne' is based. Towards the end of the piece, the third and final ascent links the apotheosis of the polonaise theme with that of the slow section, diatonically reaching \hat{a} twelve bars before the fundamental line descends. Other noteworthy features at this level include the use of parallel harmonic progressions (as for instance from the 'first nocturne' to the slow section, and from the slow section to the apotheosis), which enhance the work's 'improvisatory' character; neighbour-note motions (N.B. the f^2 in 221, which forms IV along with the bass passing note d-flat); the octave descent in the introduction, which embellishes the first pitch in the initial ascent to \hat{a} ; and use of the tonic in other harmonic contexts (e.g., as $\vee^1/\flat III$ in bar 182). It is significant that Chopin avoids closure at the end of the slow section: although the subsidiary descent in $\flat III$

reaches its goal - 'c-flat²' - in bar 206, the 'e-flat²' above it keeps the section open. (This also facilitates the parallel progression through C major to IV.) Earlier in the piece, closure is withheld when the end of the introduction overlaps with the polonaise theme.

Among the more striking characteristics of the second middleground level is the frequent use of interpolation rather than diminution as a means of prolongation, the first instance occurring in the introduction with the \flat VI parenthesis (E major in the score), which Chopin exploits in the foreground to announce the five-note descent characteristic not only of the polonaise theme but also of the developmental episode, 'first nocturne', apotheosis and coda, as well as the background structure itself.⁴⁸ Other motivic parallelisms include the octave-progression from the introduction (cf. bars 31-7), linear ascents (slow section and apotheosis), and neighbour-note motions (56-60, 132-8 and 182-95). The parallel harmonies in the transitions after the 'first nocturne' and slow section are eliminated at this structural level, although a new parallel succession occurs in 160-8 - from B-flat major to C-flat major - when Chopin boldly retonicises the harmony on which the 'first nocturne' was based. Numerous sequential motions appear, among them the progression embellishing A-flat major/minor in 66-86 and the circle-of-fifths sequence in 92ff. In the apotheosis, Chopin harmonises the first pitch in the subsidiary motion from ($\hat{6}$) in 250ff. by restating \flat III in an elaborate interrupted cadence, thus recalling the slow section. Closure is avoided after the first transformation of the polonaise theme, which ends abruptly with the second-inversion B-flat major chord in 116 at the start of the 'first nocturne'. Chopin heightens the sense of tonal confusion within the slow section by tonicising A-flat minor and by moving in 189 to E-flat

major, which functions contextually not as the dominant but as III³ (or $\sqrt[3]{\sqrt{1}}$) of \flat III.

The foreground (shown in Example 88d) is literally filled with motives established at first- and second-middleground levels, among them neighbour-note figures, reaching-over motions, five-note descents, octave-progressions and linear ascents. This abundance of motivic parallelisms counteracts the potentially destabilising effects of the numerous 'rational deceptions', including elisions and anticipations (as in 177-9, which culminate in the mysterious bar 180), non-functional harmonic interpolations (e.g., 88-91, 101-3 and 252-3), and complex chromatic elaborations (as in 56-60 and 190-3). Chopin also exploits diminished harmonies to heighten a sense of the unexpected, as for instance in 51-5 and 76-9 and in the transition to the apotheosis. The most significant 'deception' occurs, however, at the end of the slow section, where in a remarkable seven-bar anacrusis, double and triple trills anticipate the structural descent from c-sharp² to b' but arrive instead at d-sharp' in bar 206 (although b is heard in an inner voice). As mentioned before, this effectively keeps the section 'open', so that when the introduction and 'second nocturne' return, flowing directly from the slow section, they seem all the more recondite. Dynamics and register are worth noting in bar 215: unlike previous instances, the characteristic dotted figure is marked here with a *crescendo*, reaching *forte* with the registral low-point of the piece - contra C⁴⁹ - which, heard earlier in 40, has special significance in the sketches. It is possible that this dynamic idiosyncrasy is Chopin's attempt to stress the unorthodox harmonic succession from B major (' \flat III') through C (bar 215) and D-flat (i.e., IV - bar 221) to E-flat (V - 242).

To summarise, the *Polonaise-Fantasy* is based on a 'dynamic' I-~~bIII~~-V-I progression prolonging the primary melodic tone \hat{a} in several harmonic contexts. Chopin avails himself of numerous 'rational deceptions', in particular avoiding closure to heighten 'structural momentum', and constructing large passages on bold, 'improvisatory' parallel harmonic successions, some of which serve to mask the underlying structural progression, as does the seemingly random arrangement of themes and thematic reminiscences. Unity is enhanced, however, by the many motivic parallelisms - among them the five-note ascents to \hat{a} - and veiled tonal references, although the latter occasionally appear in different harmonic contexts and thus can challenge tonal stability. As in the *Barcarolle*, structural weight is channelled towards the end of the piece, where the principal themes are transformed in an exciting apotheosis highlighting the fundamental line's descent in a manner similar to the phrase extensions of earlier pieces such as the Op. 10 Studies. The *Polonaise-Fantasy* thus testifies to Chopin's remarkable 'improvisatory long-range vision' at this late stage in his compositional career: even an apparently disordered work such as this can be seen to rely on principles of tonal design established in the late 1820s and early 1830s as part of the composer's 'structural style'.

* * * * *

It must be stressed that the analytical conclusions reached here pertain to the *Polonaise-Fantasy* as published, not as first conceived. The sketches of the work reveal that Chopin's original conception radically differed from the final version: he began the piece not in A-flat minor but in C minor, then in F minor (deciding on A-flat minor only later), and he drafted the 'first nocturne' and slow section - about a third of the piece - a semitone higher than in the printed version. These profound changes in the

work's tonal scheme cause serious doubts as to the validity of Schenker's notion of improvisation: whereas Schenker maintained that the great masters 'instantaneously sketched out' a basic plan - i.e., a background or middle-ground structure - to guide them in improvising and in composing, Chopin was clearly quite content (in Jim Samson's words) to 'shift a pre-composed paragraph from one tonal platform to another'⁵⁰ without undue concern for the overall harmonic design of the work.

Despite this compelling evidence, however, it would be wrong to dismiss Schenker's principles as irrelevant to the *Polonaise-Fantasy* without first having gained a broader understanding of what the sketches tell us about Chopin's compositional process. First of all, the sketched material⁵¹ was not drafted linearly (i.e., in the order of the final version): Chopin notated the work in large, continuous sections - 'continuity-drafts' - and in numerous shorter segments scattered throughout. The introduction, initial statement of the polonaise theme, developmental episode up to bar 92, slow section, apotheosis and coda were written out without apparent difficulty, whereas Chopin agonised over what would eventually become bars 92-117 and 193-205, working and reworking these passages to connect the continuously drafted passages more smoothly.

It might be that Chopin's confidence in the larger sections resulted from his clear understanding of their formal function in the generic hybrid of polonaise and fantasy (as Jeffrey Kallberg concludes),⁵² but his assurance in these passages could also indicate that he was consciously or unconsciously⁵³ following an overall tonal plan - or, rather, one of several tonal plans - which, although different from that of the final version, would have acted like background or middleground structures at each successive stage of the work's evolution. These 'basic plans' - which would have varied according to

the harmony at the beginning, but which would all have had the polonaise theme in A-flat major, and C major as the key of the slow section⁵⁴ - would have been based on several principal harmonies corresponding to the tonal regions of the music Chopin sketched without difficulty. It was the passages between the structural 'pillars' that caused problems - passages whose tonal function had not been thought out in advance. Schenker's principles of improvisation therefore might not be entirely irrelevant to the *Polonaise-Fantasy*: reference to a tonal outline in sketching the piece could have enabled Chopin to write out the continuity-drafts in the 'sweep of improvisation' which Schenker would later describe as essential to the composition of masterpieces.

Although highly conjectural, this interpretation of the sketches and of Chopin's compositional process in general can be justified at least to some extent if one extrapolates from the draft the successive tonal structures that might have served the composer as 'basic plans', then evaluating them in the light of his 'structural style'. The range of background graphs presented in **Example 88e** reflects Chopin's use of the three different harmonies at the start of the introduction while maintaining the A-flat major polonaise theme and the C major slow section as constants. **88e^{1a}** treats C minor as the tonic (note the key signature of three flats at the beginning of the sketch). Although this results in a convincing tonal plan similar to Model NN₃, doubts about the major or minor quality of the recapitulated material make this hypothetical background structure less plausible than the one in **88e^{1b}**, where C minor/major initiates an auxiliary motion from iii and III*³ through V to I (rather like the iii-V-I structure in Brahms Op. 118, No. 1⁵⁵), with a neighbour-note motion in the fundamental line as in NN₃ but harmonised differently. That A-flat major is first heard as $\vee^I/_{III}$ - not as the tonic - in

the initial statement of the polonaise theme creates an effective large-scale 'rational deception', making this structure seem all the more credible as Chopin's first 'basic plan'.

Example 88e² contains two graphs starting with the F minor harmony that Chopin turned to next (marking *F mol* [sic] above the first system, changing to an implied key signature of four flats, and later in the sketches drafting an alternative opening in this key). Treating F minor as the tonic while retaining A-flat major for the polonaise theme and C major for the slow section results in the hypothetical structure in 88e^{2a}, which, unlike those in 88e¹, is based on an underlying 'dynamic' progression similar to countless others used by Chopin - *i-III-V* - with considerable momentum generated in the drive to the dominant. Once again, however, it is the recapitulation that leads one to question this structural scenario, and thus to favour Example 88e^{2b} as the outline Chopin could have envisaged when starting the work in F minor. Here the introduction acts as a large-scale harmonic 'appoggiatura' based on vi, resolving to I (A-flat major) with the start of the polonaise theme. The 'dynamic' progression that follows - *I-III*³-V-I* - is typical of Chopin's 'structural style'; the chromatic embellishment of the head note - *ê-#ê-ê* - is less characteristic, although it could derive from Model NN₃. This structure, which is an entirely plausible 'basic plan', has much in common with Op. 49's underlying vi-V-I progression, particularly at the middle-ground level.

The hypothetical structures shown in Examples 88e^{3a} and e^{3b} are the last Chopin might have had in mind before altering the slow section's tonal setting to B major ('*bIII*'), which occurred at a very late stage in sketching the piece. Here, as in the final version, the work begins with A-flat minor/major as the tonic, moving through *III*³* in the slow section and V in the

apotheosis to I after the descent of the fundamental line. Different transitions from I to III^{*3} distinguish the two graphs, reflecting the difficulty Chopin experienced in effecting this connection. Initially he appears to have had C minor as the harmonic goal of the developmental episode, most likely planning to transpose the polonaise theme to iii for its 'first transformation', or possibly intending simply to continue the development of the theme's principal motives until the slow section began (nowhere in the sketches do we actually find the 'first transformation' notated in C minor). Irrespective of the passage's *thematic* goal, transcriptions⁵⁶ show that Chopin made at least four attempts to steer the music towards iii, and Example 88e^{3a} represents the background structure that might have been envisaged when using C minor to connect I and III^{*3}. Example 88f's middleground graph reveals that the drafts of this passage are based on a structure almost identical to that of the final version - i.e., a linear ascent from (î) to (ê) via the sharpened fourth d-natural² - although the harmonisation is different, continuing the progression started in 92-105. That the structural basis of this passage was retained in the final version, even though C minor was ultimately abandoned, supports the view that Chopin intuitively relied on some sort of outline or plan in sketching the work.

Dissatisfaction with C minor as temporary goal led to the revision shown in Example 88e^{3b}, in which A-flat minor/major prevails until the 'first nocturne' begins in '♭III' (i.e., B major). At this stage Chopin evidently planned to retain the tonic for the polonaise theme's 'first transformation', but in drafting the passage he ran into difficulty, abandoning the texturally enriched repetition (which starts like bars 108-14 of the final version but then continues as in the *first* statement of the theme, whereas in the published version Chopin interrupts the repeat with the sudden one-bar link to

the 'first nocturne') upon reaching the counterpart to bar 34. Here, about to cadence on iii, he arrived at the end of the page and stopped sketching.⁵⁷ It is obvious that at this point the means of connecting A-flat minor/major and B major at the *foreground* level had not been fully worked out by Chopin: only after rethinking the entire background structure and lowering the key of the slow section could he return to this passage and harmonically realign it as in the final version (moving from i through ii to II*³ for the 'first nocturne', then on to ♭III for the slow section). The middleground₂ graph shown in **Example 88f**² represents the passage at this stage of the work's evolution, suggesting some of the structural problems implicit in Chopin's more or less literal repetition of the polonaise theme: i.e., how to link i and ♭III, and how to harmonise the five-note ascent that might have been carried over at a structural level from the earlier version of the section.

One last question remains about the hypothetical background structures in Examples 88e^{3a} and e^{3b}: how did Chopin intend to connect the C major slow section to the apotheosis at middleground and foreground levels? Although firm conclusions remain elusive (bars 214-20 are omitted from the sketch), Chopin might have planned to return to both the introduction and the 'second nocturne' as in the final version, but this is improbable, as harmonically the two do not mesh when the repeated introduction starts in C major. (That the slow section ended firmly in C was clearly Chopin's intention: the sketches contain a much extended version of 206-13, with eight additional bars to reinforce III*³.)⁵⁸ A more likely - if entirely conjectural - possibility is that from this lengthy cadence in C major the music moved directly to the 'second nocturne', i.e., to bar 216, as the graph in **Example 88g** represents. Chopin's use of contra C⁵⁹ in the final two bars of the extended cadence supports this hypothesis: the lowest pitch in the work is sounded

immediately before the 'second nocturne' as in bar 215 of the published version. More importantly, the connection is harmonically convincing, even though it lacks the mystery of the final version.

What Chopin had in mind at this point will of course never be known for sure, although it is less difficult to see why he might have been inspired to alter the tonal setting of the 'first nocturne' and slow section. Jim Samson proposes various factors, among them the 'associations of stillness and serenity which the key of B major carried' for Chopin, the 'more congenial lie of the hand for the legato melody of the slow section' when in B rather than C, and Chopin's recognition of the 'potential of his opening chords as a means of signalling the larger tonal movement of the piece'.⁶⁰

Another factor concerns the stylistic reassessment which was occurring when Chopin composed Op. 61, and which, as we have seen, resulted in a new approach to ornamentation, rhythm, harmony and genre. From the analysis presented here, it is clear that this reappraisal extended even to the composer's 'structural style'. Although the tonal scheme of the piece as published has obvious advantages over the three essayed in the sketches, it would have been far more consistent with Chopin's 'structural style' as established in the 1820s and 1830s had the final version adhered to the $I-III^{*3}/V-I$ progression shown in Examples 88e^{3a} and e^{3b}, which had been used in numerous earlier works and which was therefore an entirely logical tonal foundation for Chopin to have employed in drafting the *Polonaise-Fantasy*. Various authors have remarked that the use of C major (III^{*3}) in the sketches is 'surprising', but it is even more striking that the familiar underlying progression was abandoned in favour of a new one - $I-\flat III/V-I$ - which has a structural function nowhere else in Chopin's music except in the *Barcarolle*, where the same harmonic succession appears in the background.

In composing these extended works at a time of profound stylistic change, Chopin thus turned to a new 'dynamic' progression which, despite its superficial resemblance to other more characteristic structures, was nevertheless unique. The similarity of the 'basic plans' used in these two pieces, in addition to the many other structural characteristics they share, points to the close relation between improvisation and composition in Chopin's music, and even more importantly to the use of a common set of structural principles - a 'structural style' - in works belonging to very different genres. Although their tonal schemes reveal that Chopin's 'structural style' was modified at this late date (which is not remarkable in itself, given the other stylistic changes of the period), otherwise the *Barcarolle* and the *Polonaise-Fantasy* remain faithful to principles established in the early period, when by merging features from the dance pieces and from the *stile brillante*, Chopin developed the 'improvisatory long-range vision' that would eventually guide him even in writing highly complex compositions such as these.

NOTES TO PART III

¹ 1985: 6.

² Although other analytical methods have been successfully applied to Chopin's music, discussion here will be confined to Schenkerian studies in order to facilitate comparison with analyses in Part II, and to exploit what Nicholas Cook calls the 'standardization of Schenkerian practice' (see the Preface). Nevertheless, reference is made to non-Schenkerian analyses when relevant. In general this overview will not include analyses of isolated passages, only of entire works.

³ Note Peter Westergaard's comments in the Preface.

⁴ Throughout this discussion, only relevant opus numbers are given: neither example numbers nor analysts' names appear in the text (unless there is ambiguity, as in the case of Op. 17, No. 4, where two authors have analysed the work). See Tables 6 and 7 for references.

⁵ See Samson 1985: 57, 103ff. Later polonaises show clearer signs of experimentation within the genre: see Kallberg 1985: 268-72 for discussion.

⁶ Extrapolation from Schenker's *Meisterwerk* graph leads to this conclusion.

⁷ Despite their solid tonal foundations, neither of these waltzes possesses the comprehensive structure found in Op. 34, No. 2, which surely ranks among Chopin's greatest achievements in the dance genres.

⁸ 1962: i, 251.

⁹ Ibid., i, 261-2.

¹⁰ Ibid., i, 262.

¹¹ 1973: 285.

¹² Ibid., 290.

¹³ See Part I, Section B.

¹⁴ As Schenker omits the melody from this part of his graph (representing it parenthetically), it is not clear how bass and treble are related.

¹⁵ 1985: 193.

¹⁶ Ibid., 197.

¹⁷ Ibid., 195.

¹⁸ Kinderman 1988.

¹⁹ Schachter 1988.

²⁰ Schachter acknowledges on page 233 that this interpretation derives from Example 107 in Jonas 1982.

²¹ See Part I, note 54.

²² Note however Vrieslander's criticism of the work (1925: 268-9).

²³ See Chopin's letter to Julian Fontana, attributed to June 1841, in Chopin 1955: ii, 20-1. See also Bronarski 1958.

²⁴ Note for instance the A minor Fugue KK 1242; also, Chopin's transcriptions of three fugues by Cherubini (KK 1408).

²⁵ Kallberg 1985: 266.

²⁶ As a young composer Chopin wrote two sets of variations which some regard as precursors to Op. 60 in their use of a barcarolle theme, although as variations they otherwise have little in common with most nineteenth-century barcarolles (including Op. 60). In 1826 he composed the five *Variations sur un air national de Moore* for piano duet, based on a 'Venetian Air' from Thomas Moore's collection of folk songs published in 1818. Three years later, in 1829, he wrote the *Souvenir de Paganini* in homage to the violin virtuoso, who had visited Warsaw that year and had so greatly impressed the young Chopin with his *Variazioni* Op. 10 on 'Carnevale di Venezia' that he composed his own variations on the theme, which were posthumously published as the *Souvenir*.

²⁷ Dahlhaus 1982: 15. Dahlhaus's writings on genre are examined in detail in Kallberg 1988a.

²⁸ Before analysing Chopin's Op. 60 (which is highly idiosyncratic compared with other works in the genre), it will help to examine the folk barcarolle and to discuss how it passed from the canals of Venice into salons and opera houses throughout Europe.

In his *Reisetagebuch* (repr. as 'Die venetianischen Gondellieder', *Neue Zeitschrift für Musik*, xl/24 [1854]: 259-60), Eduard von Bülow (father of Hans von Bülow) distinguishes between barcarolles based on folk melodies and those which set Tasso's epic poem, *Gerusalemme liberata*. The 'Tassogesang', in Venetian dialect, is

... jetzt bekannt genug, da man die Musik gedruckt kaufen kann. Sie hat etwas Traditionelles und ist wohl sehr alt. Mehr *parlando*, recitativisch, als gesungen; eintönig, und oft durch die Nase vorgetragen, sollte man glauben, sie werde keinen sehr harmonischen Eindruck hinterlassen.

Barcarolles with origins in the folk tradition could be either 'indifferent' (*gleichgültig*) or 'pretty and unusual' (*sehr hübsch und eigenthümlich*), some of them identical to one used by Auber in *La Muette de Portici*.

The *Universal-Lexicon der Tonkunst* (ed. Gustav Schilling [Stuttgart: Franz Heinrich Köhler, 1835]: [434]-5) offers more precise information about the musical nature of the 'folk' barcarolle:

Das Eigenthümliche derselben besteht in einer seltenen, aber wohlthuenden Einfachheit der Harmonie, die nur ein-, höchstens zweimal an irgend einer passenden Stelle durch einen fremdartigen leidenschaftlichen Accord unterbrochen wird. Eben so verhält es sich mit der Melodie, die sich fast ausschließlich nur in dem diatonischen klanggeschlechte fortbewegt, und nur nach Maaßgabe der Harmonie wenige chromatische Intervalle durchgeht. Als reiner Naturgesang ist auch ihre Tonart und ihr Rhythmus der allernatürlichste: 2/4 oder auch 3/8, seltener 3/4 und 6/8 Takt, aber mit leidenschaftlichen Accenten, wie die Empfindung selbst mächtiger sich regt in der Brust des gewöhnlichen Naturmenschen, und daher hinreißend.

As both this article and von Bülow imply in references to *La Muette de Portici* (which, incidentally, Chopin knew well - see Part I, Section B), composers adapted the barcarolle for use in opera. André Campra's *Les fêtes vénitienes* (first performed in Paris in 1710), Paisiello's *Il re Teodoro in Venezia* (Vienna, 1784), Weber's *Oberon* (London, 1826), and numerous operas by Hérold, Donizetti and Rossini all feature barcarolles. Gradually the barcarolle made its way into the vocal literature: Schubert based three *Lieder* on the genre ('Auf dem Wasser zu singen', 'Gondelfahrer' and 'Des Fischers Liebesglück' - all from the 1820s), and Rossini included several in *Les Soirées Musicales* (1830-5) and *Les Pêchés de la Vieillesse* (1857-68). Mendelssohn established the barcarolle in the piano repertoire with the three 'Venetianische Gondellieder' from the *Lieder ohne Worte* (one of them written in Venice in 1830) and the isolated *Gondellied* (1837). Around 1840 Liszt composed a set of four piano pieces called *Venezia e Napoli*, the third of which ('Andante placido', later to become the *Gondoliera*) he based on a popular barcarolle 'La biondina in gondoletta', written by a 'Cavaliere Peruchini'.

²⁹ The influence of sonata form can most clearly be seen in the recapitulation of the second and third themes: presented first in A major (♭III), they return later, greatly expanded, in the tonic F-sharp major. Furthermore, although monothematic, the first section of the work resembles a short sonata-allegro movement in its progression from the initial statement of Theme A in bars 4-16 - the 'exposition' - which moves from the tonic to the dominant, through a brief 'developmental' passage (bars 17-23) to the reprise of A (i.e., A') in bar 24, now harmonically, registrally and dynamically amplified.

³⁰ See the *Universal-Lexikon* article quoted in note 28.

³¹ The examples reproduced here come from Rink 1988b, which contains a far more detailed analysis of Op. 60 than the one undertaken in this context.

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Like an inspired improvisation, [the *Polonaise-Fantasy*] embraces a wide range of characters - slow introduction, dance elements, sonata-like development, nocturne-like ornamental melody, 'slow movement' - and all within a design of apparent profligacy. Some of the material which assumes a clear thematic identity never recurs, and the sequence of events is largely unpredictable, scarcely even paying lip service to inherited conventions. Yet for all its broad rhapsodic sweep the structure of the work is entirely satisfying and cohesive, even if frustratingly resistant to explication, (1985: 201)

³³ F. Chopin (Paris: Escudier, 1852), 45.

³⁴ 1966: 105, note 12.

³⁵ 1921: i, 110-21.

³⁶ 'O pewnych cechach kompozycji w swobodnych formach Chopina', *Studia chopinowskie*, trans. Jerzy Popiel (Cracow: Polskie Wydawnictwo Muzyczne, 1965), 251-8.

³⁷ 1963b.

³⁸ 'Pour une narratologie de Chopin', *International Review of the Aesthetics and Sociology of Music*, xv/1 (1984): 53-74.

³⁹ 1985: 274, note 21.

⁴⁰ 1962: Example 409.

⁴¹ 1987: 340. Cook then adds: 'In terms of Schenkerian aesthetics that would mean that [the *Polonaise-Fantasy*] really consists of two separate pieces, which seems quite a reasonable conclusion since this is merely a translation to background level of what Chopin did in his *Polonaise Op. 44*, which has a complete *Mazurka* for its middle section'.

⁴² Samson 1988b. Although inferior to the analyses of Salzer, Cook and Samson, an additional graph of *Op. 61* appears in Yadeau 1980.

⁴³ As in Part II, the analytical discussion here relies on existing studies of the work for context. Reference should be made in particular to Samson 1985: 200-11.

Before examining the *Polonaise-Fantasy*'s tonal structure, it is important to note that numerous motivic connections exist in the piece (some of which feature in the graphs in Example 88). These have been analysed in detail by Hamburger (1966: 107ff.), Cook (1987: 336ff.) and Samson (1985: 204-5), and here it suffices to note the significance of what Samson calls 'thematic recall' (1985: 201), which works in conjunction with tonal recall to enhance the sense of unity. Chopin continually returns to the tonic harmony, often disguising it by variations in spelling and 'quality' (e.g., bars 17-22, 86-7 and 182-5 are written in G-sharp minor, not A-flat minor) as well as in function (in the 'second nocturne', for instance, G-sharp minor acts not as i but as $\sqrt{4}/\text{bIII}$). Although, as Arnold Whittall has written (*Romantic Music* [London: Thames and Hudson, 1987], 77), these abundant references to 'one, central tonality of A flat major' balance and control the 'relatively free succession of events', temporary confusion often results from the different functions assumed by A-flat major/G-sharp minor, which enhances the effect of *vernünftige Betrugerey*. (Cf. the similar use of F-sharp major/minor in bars 46-50 and 57-61 of the *Barcarolle*, as discussed in Rink 1988b: 201.)

⁴⁴ For the sake of consistency, most of the themes are identified here as in Samson 1988b: 52. Similar tables are provided in Leichtentritt 1921: i, 112; Abraham 1939: 110; and Cook 1987: 339.

⁴⁵ This is but one of the differences between Op. 61 and Chopin's other polonaises, which might be attributable to the generic hybrid used by the composer.

The polonaise genre seems in any case not to have influenced Chopin's original conception of the work: the characteristic dance rhythms found in the piece as published appeared late in the sketching process, belonging not to the original layer but to a subsequent one. (See Kallberg 1985: 282.)

⁴⁶ This is the enharmonic function of B major, as it appears in the score. Although some analysts - e.g., Cook and Samson - treat B major literally, the enharmonic equivalent is used here in keeping with Chopin's own enharmonic flexibility, which is revealed in both the sketches (e.g., bar 56) and the Brandus *Stichvorlage* (bars 231 and 249). Why Chopin chose to write the slow section in B major rather than C-flat major is unclear, possibly to simplify the key signature (but note the awkward inflection to A-sharp major - not B-flat major - that results in 160ff.), or to 'disguise' the true structural function of the section for the sake of 'rational deception'.

⁴⁷ See Samson 1988b: 49-50.

⁴⁸ See Part II, Chapter 1, note 40 regarding the importance of introductions in improvisatory music.

⁴⁹ This was the lowest note on Chopin's piano. Cf. the similar use of C[♯] in the *Barcarolle* (see Rink 1988b: 218).

⁵⁰ 1988b: 51.

⁵¹ The sketches, which are discussed at length in Kallberg 1985, Samson 1985 and 1988b, and Nowik 1978: 231-70, comprise eight leaves of fourteen-staff manuscript paper (KK 815) which are in an unknown private collection, and a single page (KK 816) held in Warsaw by the Towarzystwo imienia Fryderyka Chopina.

Other primary sources for Op. 61 include the two *Stichvorlagen* prepared for Brandus and Breitkopf und Härtel. The former (KK 818) is part of the private Paris collection of the Czech pianist Wilhelmine Clauss-Szarvady (1834-1907) and was recently published in facsimile (*Frédéric Chopin Deux Nocturnes op. 48, Polonaise-Fantaisie op. 61*, introduction by Jean-Jacques Eigeldinger [Yverdon-les-Bains: Cornaz, 1986]). This manuscript was used to make the Wessel copy (now lost), which in turn served as the basis for the Breitkopf *Stichvorlage* (KK 817 - see Eigeldinger, 'Autographes de Chopin inconnus', *Revue musicale de Suisse romande*, xxxvii/4 [1984]: 166). This is held by the National Library in Warsaw.

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... included among the passages that flowed most freely from Chopin's pen are exactly those that constitute the most significant points of overlap between the genres of polonaise and fantasy: the long introduction and the lyrical middle section. The formal basis of the generic hybrid was therefore well established even before Chopin began sketching... (1985: 283)

⁵³ In discussing Op. 61's genesis, Samson refers to

... the projection of ... codified perceptual structures into the realm of compositional strategies, even if these are regarded as subliminal. Such a projection is explicit in Schenker himself and implicit in the work of many Schenkerians. At the very least it would be argued that Chopin proceeded from an *intuition* of the *Ursatz*. (1988b: 58)

⁵⁴ Kallberg 1985 and Samson 1988b indicate the constancy of these two features in the sketches.

⁵⁵ See Schenker's analysis in *Der freie Satz*, §245 and Figure 110^{d3}.

⁵⁶ See Kallberg 1985: 288-90, Examples 4 and 5.

⁵⁷ Kallberg 1985: 290-2 provides a transcription of the relevant passage.

⁵⁸ This extension was originally six bars long, but Chopin added two more bars to emphasise III^{*3} even further.

⁵⁹ Chopin twice specifies this by notating the pitch C (i.e., two octaves below middle c) and then writing 'C.' for *contre* underneath.

Note in Example 88g that the harmonic progression after bars 208-9 outlines a descent foreshadowing the inner voice's melody at the end of the piece, i.e., in bars 281-3 and 284-5.

⁶⁰ Samson 1988b: 54-7.

Note also the motivic parallelism that results from writing the slow section in B major: the melodic ascent from b-natural through c to d-flat in bars 226-7 imitates the *harmonic* motion from the end of the slow section until this point, i.e., B major → C major → D-flat major.

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